

04-18-05

*Handwritten initials*

Application No. 10/696,659  
IDS, filed 04/15/05

PATENT  
Customer No. 22,852  
Attorney Docket No. 07451.0001-23000  
Intertrust Ref. No. IT-5.1.2.1 (US)

| CERTIFICATE OF EXPRESS MAILING   |   |
|--|---|
| Express Mail Label No.: EV 671823580 US  |   |
| I hereby certify that this correspondence is being deposited with the United States Postal Services "Express Mail Post Office to Addressee" service under 37 C.F.R. § 1.10, addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, on the date below. |   |
| Date: April 15, 2005   | Signed: <i>Andrew B. Schwaab</i><br>Andrew B. Schwaab |

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

|                              |                              |
|------------------------------|------------------------------|
| In re Application of:        | ) Confirmation No.: 8787     |
|                              | )                            |
| Karl L. GINTER et al.        | ) Group Art Unit: 2132       |
|                              | )                            |
| Application No.: 10/696,659  | ) Examiner: Justin T. DARROW |
|                              | )                            |
| Filed: October 28, 2003      | )                            |
|                              | )                            |
| For: SYSTEMS AND METHODS FOR | )                            |
| SECURE TRANSACTION           | )                            |
| MANAGEMENT AND               | )                            |
| ELECTRONIC RIGHTS            | )                            |
| PROTECTION                   | )                            |

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

**INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R. § 1.97(c)**

Pursuant to 37 C.F.R. §§ 1.56 and 1.97(c), Applicants bring to the attention of the Examiner the documents on the attached listing. This Information Disclosure Statement is being filed after the events recited in Section 1.97(b) but, to the undersigned's knowledge, before the mailing date of either a Final action, Quayle action, or a Notice of Allowance. Under the provisions of 37 C.F.R. § 1.97(c), this Information Disclosure Statement is accompanied by a fee of \$180.00 as specified by Section 1.17(p). Please charge \$180.00 to Deposit Account No. 06-0916 for this fee.

Copies of the listed foreign and non-patent literature documents are contained on the enclosed CD ROMs. Copies of the U.S. patent publications are not enclosed.

Applicant respectfully requests that the Examiner consider the listed documents and indicate that they were considered by making appropriate notations on the attached form.

This submission does not represent that a search has been made or that no better art exists and does not constitute an admission that each or all of the listed documents are material or constitute "prior art." If the Examiner applies any of the documents as prior art against any claims in the application and Applicants determine that the cited documents do not constitute "prior art" under United States law, Applicants reserve the right to present to the office the relevant facts and law regarding the appropriate status of such documents.

Applicants further reserve the right to take appropriate action to establish the patentability of the disclosed invention over the listed documents, should one or more of the documents be applied against the claims of the present application.

Application No. 10/696,659  
IDS, filed 04/15/05

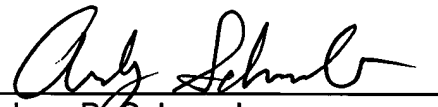
PATENT  
Customer No. 22,852  
Attorney Docket No. 07451.0001-23000  
Intertrust Ref. No. IT-5.1.2.1 (US)

If there is any additional fee due in connection with the filing of this Statement,  
please charge the fee to Deposit Account No. 06-0916.

Respectfully submitted,

FINNEGAN, HENDERSON, FARABOW,  
GARRETT & DUNNER, L.L.P.

Date: April 15, 2005

By:   
Andrew B. Schwaab  
Reg. No. 38,611

Finnegan, Henderson, Farabow,  
Garrett & Dunner, L.L.P.  
901 New York Avenue NW  
Washington, DC 20001-4413  
Facsimile: 202-408-4400  
Attorney Direct Telephone: 650-849-6643

|   |  |                  |  |                                  |  |                  |
|---|--|------------------|--|----------------------------------|--|------------------|
| <div style="display: flex; justify-content: space-between; align-items: center;"> <div style="text-align: left;"> <p>IDS Form PTO/SB/08: Substitute for form 1449A/PTO</p> <p><b>INFORMATION DISCLOSURE<br/>STATEMENT BY APPLICANT</b></p> <p>(Use as many sheets as necessary)</p> </div> <div style="text-align: right;"> <p><b>Complete if Known</b></p> </div> </div> |  |                  |  | <p><b>Application Number</b></p> |  | 10/696,659       |
|   |  |                  |  | <p><b>Filing Date</b></p>        |  | October 28, 2003 |
| <p><b>First Named Inventor</b></p>  |  | Karl L. GINTER   |  |                                  |  |                  |
| <p><b>Art Unit</b></p>  |  | 2132             |  |                                  |  |                  |
| <p><b>Examiner Name</b></p>   |  | Justin T. DARROW |  |                                  |  |                  |
| <p><b>Attorney Docket Number</b></p>  |  | 07451.0001-23000 |  |                                  |  |                  |

Sheet

1

of

61

| U.S. PATENTS AND PUBLISHED U.S. PATENT APPLICATIONS |             |                             |  |  |   |
|---|-------------|-----------------------------|--|--|---|
| Examiner<br>Initials                                | Cite<br>No. | Document Number             | Issue or<br>Publication Date<br>MM-DD-YYYY | Name of Patentee or<br>Applicant of Cited Document | Pages, Columns, Lines, Where<br>Relevant Passages or Relevant<br>Figures Appear |
|   |             | Number-Kind Code (if known) |  |  |   |
|   |             | 3,573,747                   | 4/6/1971                                   | Adams et al.                                       |   |
|   |             | 3,609,697                   | 9/28/1971                                  | Blevins  |   |
|   |             | 3,790,700                   | 2/5/1974                                   | Callais, et al.                                    |   |
|   |             | 3,796,830                   | 3/12/1974                                  | Smith  |   |
|   |             | 3,798,359                   | 3/19/1974                                  | Feistel  |   |
|   |             | 3,798,360                   | 3/19/1974                                  | Feistel  |   |
|   |             | 3,798,605                   | 3/19/1974                                  | Feistel  |   |
|   |             | 3,806,874                   | 4/21/1974                                  | Ehrat  |   |
|   |             | 3,806,882                   | 4/23/1974                                  | Clarke   |   |
|   |             | 3,829,833                   | 8/13/1974                                  | Freeny Jr.   |   |
|   |             | 3,845,391                   | 10/29/1974                                 | Crosby   |   |
|   |             | 3,906,448                   | 9/16/1975                                  | Henriques  |   |
|   |             | 3,911,397                   | 10/7/1975                                  | Freeny Jr.   |   |
|   |             | 3,924,065                   | 12/2/1975                                  | Freeny Jr.   |   |
|   |             | 3,931,504                   | 1/6/1976                                   | Jacoby   |   |
|   |             | 3,946,200                   | 3/23/1976                                  | Juodikis   |   |
|   |             | 3,946,220                   | 3/23/1976                                  | Brobeck et al.                                     |   |
|   |             | 3,956,615                   | 5/11/1976                                  | Anderson et al.                                    |   |
|   |             | 3,958,081                   | 5/18/1976                                  | Ehram et al.                                       |   |
|   |             | 3,970,992                   | 7/20/1976                                  | Boothroyd et al.                                   |   |
|   |             | 3,996,449                   | 12/7/1976                                  | Attanasio et al.                                   |   |
|   |             | 4,020,326                   | 4/26/1977                                  | Coulthurst   |   |
|   |             | 4,048,619                   | 9/13/1977                                  | Forman, Jr. et al.                                 |   |
|   |             | 4,071,911                   | 1/31/1978                                  | Mazur  |   |
|   |             | 4,104,721                   | 8/1/1978                                   | Markstein et al.                                   |   |
|   |             | 4,112,421                   | 9/5/1978                                   | Freeny, Jr.  |   |
|   |             | 4,120,030                   | 10/10/1978                                 | Johnstone  |   |
|   |             | 4,141,005                   | 2/20/1979                                  | Ronner et al.                                      |   |
|   |             | 4,162,483                   | 7/24/1979                                  | Entenman   |   |
| Examiner<br>Signature                               |             |                             |  | Date<br>Considered                                 |   |

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

|  |   |    |                          |                        |                  |
|--|---|----|--------------------------|------------------------|------------------|
| <b>INFORMATION DISCLOSURE<br/>STATEMENT BY APPLICANT</b><br><br><i>(Use as many sheets as necessary)</i> |   |    | <b>Complete if Known</b> |                        |                  |
|  |   |    | Application Number       | 10/696,659             |                  |
|  |   |    | Filing Date              | October 28, 2003       |                  |
|  |   |    | First Named Inventor     | Karl L. GINTER         |                  |
|  |   |    | Art Unit                 | 2132                   |                  |
|  |   |    | Examiner Name            | Justin T. DARROW       |                  |
| Sheet  | 2 | of | 61                       | Attorney Docket Number | 07451.0001-23000 |

| U.S. PATENTS AND PUBLISHED U.S. PATENT APPLICATIONS |             |                                    |  |  |   |
|---|-------------|------------------------------------|--|--|---|
| Examiner<br>Initials                                | Cite<br>No. | Document Number                    | Issue or<br>Publication Date<br>MM-DD-YYYY | Name of Patentee or<br>Applicant of Cited Document | Pages, Columns, Lines, Where<br>Relevant Passages or Relevant<br>Figures Appear |
|   |             | Number-Kind Code <i>(if known)</i> |  |  |   |
|   |             | 4,163,280                          | 7/31/1979                                  | Mori et al.  |   |
|   |             | 4,168,396                          | 9/1/1979                                   | Best   |   |
|   |             | 4,183,085                          | 1/8/1980                                   | Roberts et al.                                     |   |
|   |             | 4,196,310                          | 4/1/1980                                   | Forman et al.                                      |   |
|   |             | 4,200,913                          | 4/29/1980                                  | Kuhar et al.                                       |   |
|   |             | 4,209,787                          | 6/24/1980                                  | Freemy Jr.   |   |
|   |             | 4,217,588                          | 8/12/1980                                  | Freemy Jr.   |   |
|   |             | 4,220,991                          | 9/2/1980                                   | Hamano et al.                                      |   |
|   |             | 4,232,193                          | 11/4/1980                                  | Gerard   |   |
|   |             | 4,232,317                          | 11/4/1980                                  | Freemy Jr.   |   |
|   |             | 4,236,217                          | 11/25/1980                                 | Kennedy  |   |
|   |             | 4,246,638                          | 1/20/1981                                  | Thomas   |   |
|   |             | 4,253,157                          | 2/24/1981                                  | Kirschner et al.                                   |   |
|   |             | 4,259,720                          | 3/31/1981                                  | Campbell   |   |
|   |             | 4,262,329                          | 4/14/1981                                  | Bright et al.                                      |   |
|   |             | 4,265,371                          | 5/5/1981                                   | Desai et al.                                       |   |
|   |             | 4,270,182                          | 5/26/1981                                  | Asija  |   |
|   |             | 4,278,837                          | 7/1/1981                                   | Best   |   |
|   |             | 4,305,131                          | 12/8/1981                                  | Best   |   |
|   |             | 4,306,289                          | 12/15/1981                                 | Lumley   |   |
|   |             | 4,309,569                          | 1/5/1982                                   | Merkle   |   |
|   |             | 4,319,079                          | 3/9/1982                                   | Best   |   |
|   |             | 4,321,672                          | 3/23/1982                                  | Braun et al.                                       |   |
|   |             | 4,323,921                          | 4/6/1982                                   | Guillou  |   |
|   |             | 4,328,544                          | 5/4/1982                                   | Baldwin et al.                                     |   |
|   |             | 4,337,483                          | 6/29/1982                                  | Guillou  |   |
|   |             | 4,361,877                          | 11/30/1982                                 | Dyer et al.  |   |
|   |             | 4,375,579                          | 3/1/1983                                   | Davida et al.                                      |   |
|   |             | 4,405,829                          | 9/20/1983                                  | Rivest et al.                                      |   |
| Examiner<br>Signature                               |             |                                    |  | Date<br>Considered                                 |   |

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

|  |   |    |    |                          |  |                  |
|--|---|----|----|--------------------------|--|------------------|
| <b>IDS Form PTO/SB/08: Substitute for form 1449A/PTO</b><br><br><b>INFORMATION DISCLOSURE<br/>STATEMENT BY APPLICANT</b><br><br><i>(Use as many sheets as necessary)</i> |   |    |    | <b>Complete if Known</b> |  |                  |
|  |   |    |    | Application Number       |  | 10/696,659       |
|  |   |    |    | Filing Date              |  | October 28, 2003 |
|  |   |    |    | First Named Inventor     |  | Karl L. GINTER   |
|  |   |    |    | Art Unit                 |  | 2132             |
|  |   |    |    | Examiner Name            |  | Justin T. DARROW |
| Sheet  | 3 | of | 61 | Attorney Docket Number   |  | 07451.0001-23000 |

| U.S. PATENTS AND PUBLISHED U.S. PATENT APPLICATIONS |             |                                    |  |  |   |
|---|-------------|------------------------------------|--|--|---|
| Examiner<br>Initials                                | Cite<br>No. | Document Number                    | Issue or<br>Publication Date<br>MM-DD-YYYY | Name of Patentee or<br>Applicant of Cited Document | Pages, Columns, Lines, Where<br>Relevant Passages or Relevant<br>Figures Appear |
|   |             | Number-Kind Code <i>(if known)</i> |  |  |   |
|   |             | 4,433,207                          | 2/21/1984                                  | Best   |   |
|   |             | 4,434,464                          | 2/28/1984                                  | Suzuki et al.                                      |   |
|   |             | 4,442,484                          | 4/10/1984                                  | Childs, Jr et al.                                  |   |
|   |             | 4,442,486                          | 4/10/1984                                  | Mayer  |   |
|   |             | 4,446,519                          | 5/1/1984                                   | Thomas   |   |
|   |             | 4,454,594                          | 6/12/1984                                  | Heffron et al.                                     |   |
|   |             | 4,458,315                          | 7/3/1984                                   | Uchenick   |   |
|   |             | 4,462,076                          | 7/24/1984                                  | Smith, III   |   |
|   |             | 4,462,078                          | 7/24/1984                                  | Ross   |   |
|   |             | 4,465,901                          | 8/14/1984                                  | Best   |   |
|   |             | 4,471,163                          | 9/11/1984                                  | Donald et al.                                      |   |
|   |             | 4,471,216                          | 9/11/1984                                  | Herve  |   |
|   |             | 4,484,217                          | 11/20/1984                                 | Block et al.                                       |   |
|   |             | 4,494,156                          | 1/15/1985                                  | Kadison et al.                                     |   |
|   |             | 4,513,174                          | 4/23/1985                                  | Herman   |   |
|   |             | 4,523,271                          | 6/11/1985                                  | Levien   |   |
|   |             | 4,525,599                          | 6/25/1985                                  | Curran et al.                                      |   |
|   |             | 4,528,588                          | 7/9/1985                                   | Lofberg  |   |
|   |             | 4,528,643                          | 7/9/1985                                   | Freeny Jr.   |   |
|   |             | 4,529,870                          | 7/16/1985                                  | Chaum  |   |
|   |             | 4,553,252                          | 11/12/1985                                 | Egendorf   |   |
|   |             | 4,558,176                          | 12/10/1985                                 | Arnold et al.                                      |   |
|   |             | 4,558,413                          | 12/10/1985                                 | Schmidt et al.                                     |   |
|   |             | 4,562,305                          | 12/31/1985                                 | Gaffney, Jr.                                       |   |
|   |             | 4,562,306                          | 12/31/1985                                 | Chou et al.  |   |
|   |             | 4,562,495                          | 12/31/1985                                 | Bond et al.  |   |
|   |             | 4,573,119                          | 2/25/1986                                  | Westheimer et al.                                  |   |
|   |             | 4,577,289                          | 3/18/1986                                  | Comerford et al.                                   |   |
|   |             | 4,578,530                          | 3/25/1986                                  | Zeidler  |   |
| Examiner<br>Signature                               |             |                                    | Date<br>Considered                         |  |   |

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

|  |                  |    |    |                          |                  |
|--|------------------|----|----|--------------------------|------------------|
| <b>INFORMATION DISCLOSURE<br/>STATEMENT BY APPLICANT</b><br><br><i>(Use as many sheets as necessary)</i> |                  |    |    | <b>Complete if Known</b> |                  |
|  |                  |    |    | Application Number       | 10/696,659       |
|  |                  |    |    | Filing Date              | October 28, 2003 |
|  |                  |    |    | First Named Inventor     | Karl L. GINTER   |
|  |                  |    |    | Art Unit                 | 2132             |
| Examiner Name  | Justin T. DARROW |    |    |                          |                  |
| Attorney Docket Number   | 07451.0001-23000 |    |    |                          |                  |
| Sheet  | 4                | of | 61 |                          |                  |

| U.S. PATENTS AND PUBLISHED U.S. PATENT APPLICATIONS |             |                             |  |  |   |
|---|-------------|-----------------------------|--|--|---|
| Examiner<br>Initials                                | Cite<br>No. | Document Number             | Issue or<br>Publication Date<br>MM-DD-YYYY | Name of Patentee or<br>Applicant of Cited Document | Pages, Columns, Lines, Where<br>Relevant Passages or Relevant<br>Figures Appear |
|   |             | Number-Kind Code (if known) |  |  |   |
|   |             | 4,584,639                   | 4/22/1986                                  | Hardy  |   |
|   |             | 4,584,641                   | 4/22/1986                                  | Guglielmino  |   |
|   |             | 4,588,991                   | 5/13/1986                                  | Atalla   |   |
|   |             | 4,589,064                   | 5/13/1986                                  | Chiba et al.                                       |   |
|   |             | 4,590,552                   | 5/20/1986                                  | Guttag et al.                                      |   |
|   |             | 4,593,183                   | 6/3/1986                                   | Fukatsu  |   |
|   |             | 4,593,353                   | 6/3/1986                                   | Pickholtz  |   |
|   |             | 4,593,376                   | 6/3/1986                                   | Volk   |   |
|   |             | 4,595,950                   | 6/17/1986                                  | Lofberg  |   |
|   |             | 4,597,058                   | 6/24/1986                                  | Izumi et al.                                       |   |
|   |             | 4,598,288                   | 7/1/1986                                   | Yarbrough et al.                                   |   |
|   |             | 4,599,489                   | 7/8/1986                                   | Cargile  |   |
|   |             | 4,609,777                   | 9/2/1986                                   | Cargile  |   |
|   |             | 4,609,985                   | 9/2/1986                                   | Dozier   |   |
|   |             | 4,621,321                   | 11/4/1986                                  | Boebert et al.                                     |   |
|   |             | 4,621,334                   | 11/4/1986                                  | Garcia   |   |
|   |             | 4,622,222                   | 11/11/1986                                 | Horváth et al.                                     |   |
|   |             | 4,634,807                   | 1/6/1987                                   | Chorley et al.                                     |   |
|   |             | 4,644,493                   | 2/17/1987                                  | Chandra et al.                                     |   |
|   |             | 4,646,234                   | 2/24/1987                                  | Tolman et al.                                      |   |
|   |             | 4,649,515                   | 3/10/1987                                  | Thompson et al.                                    |   |
|   |             | 4,652,990                   | 3/24/1987                                  | Pailen et al.                                      |   |
|   |             | 4,658,093                   | 4/14/1987                                  | Hellman  |   |
|   |             | 4,670,857                   | 6/2/1987                                   | Rackman  |   |
|   |             | 4,672,572                   | 6/9/1987                                   | Alsberg  |   |
|   |             | 4,672,605                   | 6/9/1987                                   | Hustig et al.                                      |   |
|   |             | 4,677,434                   | 6/30/1987                                  | Fascenda   |   |
|   |             | 4,677,552                   | 6/30/1987                                  | Sibley, Jr.  |   |
|   |             | 4,680,731                   | 7/14/1987                                  | Izumi et al.                                       |   |
| Examiner<br>Signature                               |             |                             |  | Date<br>Considered                                 |   |

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

|  |   |    |    |                          |  |                  |
|--|---|----|----|--------------------------|--|------------------|
| <b>IDS Form PTO/SB/08: Substitute for form 1449A/PTO</b><br><br><b>INFORMATION DISCLOSURE<br/>STATEMENT BY APPLICANT</b><br><br><i>(Use as many sheets as necessary)</i> |   |    |    | <b>Complete if Known</b> |  |                  |
|  |   |    |    | Application Number       |  | 10/696,659       |
|  |   |    |    | Filing Date              |  | October 28, 2003 |
|  |   |    |    | First Named Inventor     |  | Karl L. GINTER   |
|  |   |    |    | Art Unit                 |  | 2132             |
|  |   |    |    | Examiner Name            |  | Justin T. DARROW |
| Sheet  | 5 | of | 61 | Attorney Docket Number   |  | 07451.0001-23000 |

| U.S. PATENTS AND PUBLISHED U.S. PATENT APPLICATIONS |             |                             |  |  |   |  |
|---|-------------|-----------------------------|--|--|---|--|
| Examiner<br>Initials                                | Cite<br>No. | Document Number             | Issue or<br>Publication Date<br>MM-DD-YYYY | Name of Patentee or<br>Applicant of Cited Document | Pages, Columns, Lines, Where<br>Relevant Passages or Relevant<br>Figures Appear |  |
|   |             | Number-Kind Code (if known) |  |  |   |  |
|   |             | 4,683,553                   | 7/28/1987                                  | Mollier  |   |  |
|   |             | 4,683,968                   | 8/4/1987                                   | Appelbaum et al.                                   |   |  |
|   |             | 4,685,056                   | 8/4/1987                                   | Barnsdale, Jr. et al.                              |   |  |
|   |             | 4,688,169                   | 8/18/1987                                  | Joshi  |   |  |
|   |             | 4,691,350                   | 9/1/1987                                   | Kleijne et al.                                     |   |  |
|   |             | 4,696,034                   | 9/22/1987                                  | Wiedemer   |   |  |
|   |             | 4,700,296                   | 10/13/1987                                 | Palmer, Jr. et al.                                 |   |  |
|   |             | 4,701,846                   | 10/20/1987                                 | Ikeda et al.                                       |   |  |
|   |             | 4,712,238                   | 12/8/1987                                  | Gilhousen et al.                                   |   |  |
|   |             | 4,713,753                   | 12/15/1987                                 | Boebert et al.                                     |   |  |
|   |             | 4,727,550                   | 2/23/1988                                  | Chang, et al.                                      |   |  |
|   |             | 4,740,890                   | 4/26/1988                                  | William  |   |  |
|   |             | 4,747,139                   | 5/24/1988                                  | Taaffe   |   |  |
|   |             | 4,748,561                   | 5/31/1988                                  | Brown  |   |  |
|   |             | 4,757,533                   | 7/12/1988                                  | Allen et al.                                       |   |  |
|   |             | 4,757,534                   | 7/12/1988                                  | Matyas et al.                                      |   |  |
|   |             | 4,757,914                   | 7/19/1988                                  | Roth et al.  |   |  |
|   |             | 4,768,087                   | 8/30/1988                                  | Taub et al.  |   |  |
|   |             | 4,780,821                   | 10/25/1988                                 | Crossley   |   |  |
|   |             | 4,791,565                   | 12/13/1988                                 | Dunham et al.                                      |   |  |
|   |             | 4,796,181                   | 1/3/1989                                   | Wiedemer   |   |  |
|   |             | 4,796,220                   | 1/3/1989                                   | Wolfe  |   |  |
|   |             | 4,798,209                   | 1/27/1989                                  | Klingenbeck, et al.                                |   |  |
|   |             | 4,799,156                   | 1/17/1989                                  | Shavit et al.                                      |   |  |
|   |             | 4,807,288                   | 2/21/1989                                  | Ugon et al.  |   |  |
|   |             | 4,816,655                   | 3/28/1989                                  | Musyck et al.                                      |   |  |
|   |             | 4,817,140                   | 3/1/1989                                   | Chandra et al.                                     |   |  |
|   |             | 4,823,264                   | 4/18/1989                                  | Deming   |   |  |
|   |             | 4,827,508                   | 5/2/1989                                   | Shear  |   |  |
| Examiner<br>Signature                               |             |                             |  |  | Date<br>Considered  |  |

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.



|  |   |    |    |                          |                  |
|--|---|----|----|--------------------------|------------------|
| IDS Form PTO/SB/08: Substitute for form 1449A/PTO  |   |    |    | <b>Complete if Known</b> |                  |
| <b>INFORMATION DISCLOSURE<br/>STATEMENT BY APPLICANT</b><br><i>(Use as many sheets as necessary)</i> |   |    |    | Application Number       | 10/696,659       |
|  |   |    |    | Filing Date              | October 28, 2003 |
|  |   |    |    | First Named Inventor     | Karl L. GINTER   |
|  |   |    |    | Art Unit                 | 2132             |
|  |   |    |    | Examiner Name            | Justin T. DARROW |
| Sheet  | 6 | of | 61 | Attorney Docket Number   | 07451.0001-23000 |

| U.S. PATENTS AND PUBLISHED U.S. PATENT APPLICATIONS |             |                             |  |  |   |
|---|-------------|-----------------------------|--|--|---|
| Examiner<br>Initials                                | Cite<br>No. | Document Number             | Issue or<br>Publication Date<br>MM-DD-YYYY | Name of Patentee or<br>Applicant of Cited Document | Pages, Columns, Lines, Where<br>Relevant Passages or Relevant<br>Figures Appear |
|   |             | Number-Kind Code (if known) |  |  |   |
|   |             | 4,858,121                   | 8/15/1989                                  | Barber et al.                                      |   |
|   |             | 4,864,494                   | 9/5/1989                                   | Kobus, Jr.   |   |
|   |             | 4,864,616                   | 9/5/1989                                   | Pond et al.  |   |
|   |             | 4,866,769                   | 9/12/1989                                  | Karp   |   |
|   |             | 4,868,736                   | 9/19/1989                                  | Walker   |   |
|   |             | 4,868,877                   | 9/19/1989                                  | Fischer  |   |
|   |             | 4,881,197                   | 11/14/1989                                 | Fischer  |   |
|   |             | 4,888,798                   | 12/19/1989                                 | Earnest  |   |
|   |             | 4,893,248                   | 1/9/1990                                   | Pitts et al.                                       |   |
|   |             | 4,893,332                   | 1/9/1990                                   | Brown  |   |
|   |             | 4,903,296                   | 2/20/1990                                  | Chandra et al.                                     |   |
|   |             | 4,907,269                   | 3/6/1990                                   | Guillon et al.                                     |   |
|   |             | 4,919,545                   | 4/24/1990                                  | Yu   |   |
|   |             | 4,919,545                   | 4/24/1990                                  | Yu   |   |
|   |             | 4,924,378                   | 5/8/1990                                   | Hershey et al.                                     |   |
|   |             | 4,926,480                   | 5/15/1990                                  | Chaum  |   |
|   |             | 4,930,073                   | 5/29/1990                                  | Cina Jr.   |   |
|   |             | 4,937,863                   | 6/26/1990                                  | Robert et al.                                      |   |
|   |             | 4,941,175                   | 7/10/1990                                  | Enescu et al.                                      |   |
|   |             | 4,949,187                   | 8/14/1990                                  | Cohen  |   |
|   |             | 4,953,209                   | 8/28/1990                                  | Ryder, Sr. et al.                                  |   |
|   |             | 4,962,533                   | 10/9/1990                                  | Krueger et al.                                     |   |
|   |             | 4,967,403                   | 10/30/1990                                 | Ogawa  |   |
|   |             | 4,975,647                   | 12/4/1990                                  | Downer et al.                                      |   |
|   |             | 4,975,647                   | 12/4/1990                                  | Downer et al.                                      |   |
|   |             | 4,975,878                   | 12/4/1990                                  | Boddu et al.                                       |   |
|   |             | 4,977,594                   | 12/11/1990                                 | Shear  |   |
|   |             | 4,995,082                   | 2/19/1991                                  | Schnorr  |   |
|   |             | 4,999,806                   | 3/12/1991                                  | Chernow et al.                                     |   |
| Examiner<br>Signature                               |             |                             |  | Date<br>Considered                                 |   |

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

|  |   |    |                             |                               |                  |
|--|---|----|-----------------------------|-------------------------------|------------------|
| <b>IDS Form PTO/SB/08: Substitute for form 1449A/PTO</b><br><br><b>INFORMATION DISCLOSURE<br/>STATEMENT BY APPLICANT</b><br><br><i>(Use as many sheets as necessary)</i> |   |    | <b>Complete if Known</b>    |                               |                  |
|  |   |    | <i>Application Number</i>   | 10/696,659                    |                  |
|  |   |    | <i>Filing Date</i>          | October 28, 2003              |                  |
|  |   |    | <i>First Named Inventor</i> | Karl L. GINTER                |                  |
|  |   |    | <i>Art Unit</i>             | 2132                          |                  |
|  |   |    | <i>Examiner Name</i>        | Justin T. DARROW              |                  |
| Sheet  | 7 | of | 61                          | <i>Attorney Docket Number</i> | 07451.0001-23000 |

| U.S. PATENTS AND PUBLISHED U.S. PATENT APPLICATIONS |             |                             |  |  |   |
|---|-------------|-----------------------------|--|--|---|
| Examiner<br>Initials                                | Cite<br>No. | Document Number             | Issue or<br>Publication Date<br>MM-DD-YYYY | Name of Patentee or<br>Applicant of Cited Document | Pages, Columns, Lines, Where<br>Relevant Passages or Relevant<br>Figures Appear |
|   |             | Number-Kind Code (if known) |  |  |   |
|   |             | 5,001,752                   | 3/19/1991                                  | Fischer  |   |
|   |             | 5,005,122                   | 4/2/1991                                   | Griffin et al.                                     |   |
|   |             | 5,005,200                   | 4/2/1991                                   | Fischer  |   |
|   |             | 5,010,571                   | 4/23/1991                                  | Katznelson   |   |
|   |             | 5,014,234                   | 5/7/1991                                   | Edwards, Jr.                                       |   |
|   |             | 5,022,080                   | 6/4/1991                                   | Durst et al.                                       |   |
|   |             | 5,023,907                   | 6/11/1991                                  | Johnson et al.                                     |   |
|   |             | 5,027,397                   | 6/25/1991                                  | Double et al.                                      |   |
|   |             | 5,032,979                   | 7/16/1991                                  | Hecht et al.                                       |   |
|   |             | 5,047,928                   | 9/10/1991                                  | Wiedemer   |   |
|   |             | 5,048,085                   | 9/10/1991                                  | Abraham et al.                                     |   |
|   |             | 5,050,212                   | 9/17/1991                                  | Dyson  |   |
|   |             | 5,050,213                   | 9/17/1991                                  | Shear  |   |
|   |             | 5,051,932                   | 9/24/1991                                  | Inoue et al.                                       |   |
|   |             | 5,058,162                   | 10/15/1991                                 | Santon et al.                                      |   |
|   |             | 5,065,429                   | 11/12/1991                                 | Lang   |   |
|   |             | 5,079,648                   | 1/7/1992                                   | Maufe  |   |
|   |             | 5,091,966                   | 2/25/1992                                  | Bloomberg et al.                                   |   |
|   |             | 5,103,392                   | 4/7/1992                                   | Mori   |   |
|   |             | 5,103,459                   | 4/7/1992                                   | Gilhousen et al.                                   |   |
|   |             | 5,103,476                   | 4/7/1992                                   | Waite et al.                                       |   |
|   |             | 5,109,413                   | 4/28/1992                                  | Comerford et al.                                   |   |
|   |             | 5,111,390                   | 5/5/1992                                   | Ketcham  |   |
|   |             | 5,113,518                   | 5/12/1992                                  | Durst, Jr. et al.                                  |   |
|   |             | 5,119,493                   | 6/2/1992                                   | Janis et al.                                       |   |
|   |             | 5,126,936                   | 6/30/1992                                  | Champion, et al.                                   |   |
|   |             | 5,128,525                   | 7/7/1992                                   | Stearns et al.                                     |   |
|   |             | 5,129,084                   | 7/7/1992                                   | Kelly, Jr. et al.                                  |   |
|   |             | 5,136,643                   | 8/4/1992                                   | Fischer  |   |
| Examiner<br>Signature                               |             |                             |  | Date<br>Considered                                 |   |

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

|  |   |    |    |                          |                  |
|--|---|----|----|--------------------------|------------------|
| <b>INFORMATION DISCLOSURE<br/>STATEMENT BY APPLICANT</b><br><br><i>(Use as many sheets as necessary)</i> |   |    |    | <b>Complete if Known</b> |                  |
|  |   |    |    | Application Number       | 10/696,659       |
|  |   |    |    | Filing Date              | October 28, 2003 |
|  |   |    |    | First Named Inventor     | Karl L. GINTER   |
|  |   |    |    | Art Unit                 | 2132             |
|  |   |    |    | Examiner Name            | Justin T. DARROW |
| Sheet  | 8 | of | 61 | Attorney Docket Number   | 07451.0001-23000 |

| U.S. PATENTS AND PUBLISHED U.S. PATENT APPLICATIONS |          |                             |   |   |   |
|---|----------|-----------------------------|---|---|---|
| Examiner Initials                                   | Cite No. | Document Number             | Issue or Publication Date<br>MM-DD-YYYY | Name of Patentee or Applicant of Cited Document | Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear |
|   |          | Number-Kind Code (if known) |   |   |   |
|   |          | 5,136,646                   | 8/4/1992                                | Haber et al.                                    |   |
|   |          | 5,136,647                   | 8/4/1992                                | Haber et al.                                    |   |
|   |          | 5,136,716                   | 8/4/1992                                | Harvey et al.                                   |   |
|   |          | 5,138,712                   | 8/11/1992                               | Corbin  |   |
|   |          | 5,146,575                   | 9/8/1992                                | Nolan, Jr.                                      |   |
|   |          | 5,148,481                   | 9/15/1992                               | Abraham et al.                                  |   |
|   |          | 5,150,407                   | 9/22/1992                               | Chan  |   |
|   |          | 5,155,680                   | 10/13/1992                              | Wiedemer  |   |
|   |          | 5,163,091                   | 11/10/1992                              | Graziano et al.                                 |   |
|   |          | 5,164,988                   | 11/17/1992                              | Matyas et al.                                   |   |
|   |          | 5,168,147                   | 12/1/1992                               | Bloomberg                                       |   |
|   |          | 5,185,717                   | 2/9/1993                                | Mori  |   |
|   |          | 5,187,787                   | 2/16/1993                               | Skeen et al.                                    |   |
|   |          | 5,191,573                   | 3/2/1993                                | Hair  |   |
|   |          | 5,199,066                   | 3/30/1993                               | Logan   |   |
|   |          | 5,199,074                   | 3/30/1993                               | Thor  |   |
|   |          | 5,201,046                   | 4/6/1993                                | Goldberg et al.                                 |   |
|   |          | 5,201,047                   | 4/6/1993                                | Maki et al.                                     |   |
|   |          | 5,204,897                   | 4/20/1993                               | Wyman   |   |
|   |          | 5,206,951                   | 4/27/1993                               | Khoyi et al.                                    |   |
|   |          | 5,208,748                   | 5/4/1993                                | Flores et al.                                   |   |
|   |          | 5,214,700                   | 5/25/1993                               | Pinkas et al.                                   |   |
|   |          | 5,214,702                   | 5/25/1993                               | Fischer   |   |
|   |          | 5,216,603                   | 6/1/1993                                | Flores et al.                                   |   |
|   |          | 5,218,605                   | 6/8/1993                                | Low et al.                                      |   |
|   |          | 5,221,833                   | 6/22/1993                               | Hecht   |   |
|   |          | 5,222,134                   | 6/22/1993                               | Waite et al.                                    |   |
|   |          | 5,224,160                   | 6/29/1993                               | Paulini et al.                                  |   |
|   |          | 5,224,163                   | 6/29/1993                               | Gasser et al.                                   |   |
| Examiner Signature                                  |          |                             |   | Date Considered                                 |   |

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

**Complete if Known**

|       |   |    |    |                        |                  |
|-------|---|----|----|------------------------|------------------|
| Sheet | 9 | of | 61 | Application Number     | 10/696,659       |
|       |   |    |    | Filing Date            | October 28, 2003 |
|       |   |    |    | First Named Inventor   | Karl L. GINTER   |
|       |   |    |    | Art Unit               | 2132             |
|       |   |    |    | Examiner Name          | Justin T. DARROW |
|       |   |    |    | Attorney Docket Number | 07451.0001-23000 |

**U.S. PATENTS AND PUBLISHED U.S. PATENT APPLICATIONS**

| Examiner<br>Initials  | Cite<br>No. | Document Number             | Issue or<br>Publication Date<br>MM-DD-YYYY | Name of Patentee or<br>Applicant of Cited Document | Pages, Columns, Lines, Where<br>Relevant Passages or Relevant<br>Figures Appear |
|-----------------------|-------------|-----------------------------|--|--|---|
|                       |             | Number-Kind Code (if known) |  |  |   |
|                       |             | 5,227,797                   | 7/13/1993                                  | Murphy   |   |
|                       |             | 5,235,642                   | 8/10/1993                                  | Wobber et al.                                      |   |
|                       |             | 5,237,614                   | 8/17/1993                                  | Weiss  |   |
|                       |             | 5,241,671                   | 8/31/1993                                  | Reed, et al.                                       |   |
|                       |             | 5,245,165                   | 9/14/1993                                  | Zhang  |   |
|                       |             | 5,247,575                   | 9/21/1993                                  | Sprague et al.                                     |   |
|                       |             | 5,251,294                   | 10/5/1993                                  | Abelow   |   |
|                       |             | 5,257,369                   | 10/26/1993                                 | Skeen et al.                                       |   |
|                       |             | 5,260,999                   | 11/9/1993                                  | Wyman  |   |
|                       |             | 5,263,157                   | 11/16/1993                                 | Janis  |   |
|                       |             | 5,263,158                   | 11/16/1993                                 | Janis  |   |
|                       |             | 5,263,165                   | 11/16/1993                                 | Janis  |   |
|                       |             | 5,265,164                   | 11/23/1993                                 | Matyas et al.                                      |   |
|                       |             | 5,276,735                   | 1/4/1994                                   | Boebert et al.                                     |   |
|                       |             | 5,276,901                   | 1/4/1994                                   | Howell et al.                                      |   |
|                       |             | 5,280,479                   | 1/18/1994                                  | Mary   |   |
|                       |             | 5,283,830                   | 2/1/1994                                   | Hinsley et al.                                     |   |
|                       |             | 5,285,494                   | 2/8/1994                                   | Sprecher et al.                                    |   |
|                       |             | 5,287,407                   | 2/15/1994                                  | Holmes   |   |
|                       |             | 5,291,598                   | 3/1/1994                                   | Grundy   |   |
|                       |             | 5,301,231                   | 4/5/1994                                   | Abraham et al.                                     |   |
|                       |             | 5,301,326                   | 4/5/1994                                   | Linnett et al.                                     |   |
|                       |             | 5,311,591                   | 5/10/1994                                  | Fischer  |   |
|                       |             | 5,315,448                   | 5/24/1994                                  | Ryan   |   |
|                       |             | 5,319,705                   | 6/7/1994                                   | Halter et al.                                      |   |
|                       |             | 5,319,735                   | 6/7/1994                                   | Preuss et al.                                      |   |
|                       |             | 5,319,785                   | 6/7/1994                                   | Thaller  |   |
|                       |             | 5,325,524                   | 6/28/1994                                  | Black et al.                                       |   |
|                       |             | 5,335,169                   | 8/2/1994                                   | Chong  |   |
| Examiner<br>Signature |             |                             |  | Date<br>Considered                                 |   |

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

|  |    |    |    |                          |                  |
|--|----|----|----|--------------------------|------------------|
| <b>IDS Form PTO/SB/08: Substitute for form 1449A/PTO</b><br><br><b>INFORMATION DISCLOSURE<br/>STATEMENT BY APPLICANT</b><br><br><i>(Use as many sheets as necessary)</i> |    |    |    | <b>Complete if Known</b> |                  |
|  |    |    |    | Application Number       | 10/696,659       |
|  |    |    |    | Filing Date              | October 28, 2003 |
|  |    |    |    | First Named Inventor     | Karl L. GINTER   |
|  |    |    |    | Art Unit                 | 2132             |
|  |    |    |    | Examiner Name            | Justin T. DARROW |
| Sheet  | 10 | of | 61 | Attorney Docket Number   | 07451.0001-23000 |

| U.S. PATENTS AND PUBLISHED U.S. PATENT APPLICATIONS |             |                             |  |  |   |
|---|-------------|-----------------------------|--|--|---|
| Examiner<br>Initials                                | Cite<br>No. | Document Number             | Issue or<br>Publication Date<br>MM-DD-YYYY | Name of Patentee or<br>Applicant of Cited Document | Pages, Columns, Lines, Where<br>Relevant Passages or Relevant<br>Figures Appear |
|   |             | Number-Kind Code (if known) |  |  |   |
|   |             | 5,335,346                   | 8/2/1994                                   | Fabbio   |   |
|   |             | 5,337,357                   | 8/9/1994                                   | Chou et al.  |   |
|   |             | 5,337,360                   | 8/9/1994                                   | Fischer  |   |
|   |             | 5,341,429                   | 8/23/1994                                  | Stringer et al.                                    |   |
|   |             | 5,343,526                   | 8/30/1994                                  | Lassers  |   |
|   |             | 5,343,527                   | 8/30/1994                                  | Moore  |   |
|   |             | 5,347,579                   | 9/13/1994                                  | Blandford  |   |
|   |             | 5,349,642                   | 9/20/1994                                  | Kingdon  |   |
|   |             | 5,351,293                   | 9/27/1994                                  | Michener et al.                                    |   |
|   |             | 5,354,097                   | 10/11/1994                                 | Tel  |   |
|   |             | 5,355,474                   | 10/11/1994                                 | Thuraisingham et al.                               |   |
|   |             | 5,359,721                   | 10/25/1994                                 | Kempf et al.                                       |   |
|   |             | 5,361,359                   | 11/1/1994                                  | Tajalli et al.                                     |   |
|   |             | 5,365,587                   | 11/15/1994                                 | Campbell, et al.                                   |   |
|   |             | 5,367,621                   | 11/22/1994                                 | Cohen et al.                                       |   |
|   |             | 5,369,702                   | 11/29/1994                                 | Shanton  |   |
|   |             | 5,369,707                   | 11/29/1994                                 | Follendore, III                                    |   |
|   |             | 5,371,792                   | 12/6/1994                                  | Asai et al.  |   |
|   |             | 5,373,440                   | 12/13/1994                                 | Cohen, et al.                                      |   |
|   |             | 5,373,561                   | 12/13/1994                                 | Haber et al.                                       |   |
|   |             | 5,383,113                   | 1/17/1995                                  | Kight et al.                                       |   |
|   |             | 5,388,211                   | 2/7/1995                                   | Hornbuckle   |   |
|   |             | 5,390,247                   | 2/14/1995                                  | Fischer  |   |
|   |             | 5,390,297                   | 2/14/1995                                  | Barber et al.                                      |   |
|   |             | 5,390,330                   | 2/14/1995                                  | Talati   |   |
|   |             | 5,392,220                   | 2/21/1995                                  | Van den Hamer et al.                               |   |
|   |             | 5,392,390                   | 2/21/1995                                  | Crozier  |   |
|   |             | 5,394,469                   | 2/28/1995                                  | Nagel et al.                                       |   |
|   |             | 5,408,501                   | 4/18/1995                                  | Cornaby  |   |
| Examiner<br>Signature                               |             |                             |  | Date<br>Considered                                 |   |

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

|  |    |    |                             |                               |                  |
|--|----|----|-----------------------------|-------------------------------|------------------|
| <b>IDS Form PTO/SB/08: Substitute for form 1449A/PTO</b><br><br><b>INFORMATION DISCLOSURE<br/>STATEMENT BY APPLICANT</b><br><br><i>(Use as many sheets as necessary)</i> |    |    | <b>Complete if Known</b>    |                               |                  |
|  |    |    | <i>Application Number</i>   | 10/696,659                    |                  |
|  |    |    | <i>Filing Date</i>          | October 28, 2003              |                  |
|  |    |    | <i>First Named Inventor</i> | Karl L. GINTER                |                  |
|  |    |    | <i>Art Unit</i>             | 2132                          |                  |
|  |    |    | <i>Examiner Name</i>        | Justin T. DARROW              |                  |
| Sheet  | 11 | of | 61                          | <i>Attorney Docket Number</i> | 07451.0001-23000 |

| U.S. PATENTS AND PUBLISHED U.S. PATENT APPLICATIONS |             |                                    |  |  |   |
|---|-------------|------------------------------------|--|--|---|
| Examiner<br>Initials                                | Cite<br>No. | Document Number                    | Issue or<br>Publication Date<br>MM-DD-YYYY | Name of Patentee or<br>Applicant of Cited Document | Pages, Columns, Lines, Where<br>Relevant Passages or Relevant<br>Figures Appear |
|   |             | Number-Kind Code <i>(if known)</i> |  |  |   |
|   |             | 5,410,598                          | 4/25/1995                                  | Shear  |   |
|   |             | 5,412,717                          | 5/2/1995                                   | Fischer  |   |
|   |             | 5,418,713                          | 5/23/1995                                  | Allen  |   |
|   |             | 5,420,927                          | 5/30/1995                                  | Michali  |   |
|   |             | 5,421,006                          | 5/30/1995                                  | Jablon et al.                                      |   |
|   |             | 5,422,953                          | 6/6/1995                                   | Fischer  |   |
|   |             | 5,428,606                          | 6/27/1995                                  | Moskowitz  |   |
|   |             | 5,428,685                          | 6/27/1995                                  | Kadooka et al.                                     |   |
|   |             | 5,432,851                          | 7/11/1995                                  | Scheidt et al.                                     |   |
|   |             | 5,432,928                          | 7/11/1995                                  | Sherman  |   |
|   |             | 5,432,950                          | 7/11/1995                                  | Sibigroth  |   |
|   |             | 5,438,508                          | 8/1/1995                                   | Wyman  |   |
|   |             | 5,440,634                          | 8/8/1995                                   | Jones et al.                                       |   |
|   |             | 5,442,645                          | 8/15/1995                                  | Ugon et al.  |   |
|   |             | 5,444,779                          | 8/22/1995                                  | Daniele  |   |
|   |             | 5,449,895                          | 9/12/1995                                  | Hecht et al.                                       |   |
|   |             | 5,449,896                          | 9/12/1995                                  | Hecht et al.                                       |   |
|   |             | 5,450,490                          | 9/12/1995                                  | Jensen et al.                                      |   |
|   |             | 5,450,493                          | 9/12/1995                                  | Maher  |   |
|   |             | 5,453,601                          | 9/26/1995                                  | Rosen  |   |
|   |             | 5,453,605                          | 9/26/1995                                  | Hecht et al.                                       |   |
|   |             | 5,455,407                          | 10/3/1995                                  | Rosen  |   |
|   |             | 5,455,861                          | 10/3/1995                                  | Faucher et al.                                     |   |
|   |             | 5,455,953                          | 10/3/1995                                  | Russell  |   |
|   |             | 5,457,746                          | 10/10/1995                                 | Dolphin  |   |
|   |             | 5,457,747                          | 10/10/1995                                 | Drexler, et al.                                    |   |
|   |             | 5,458,494                          | 10/17/1995                                 | Krohn, et al.                                      |   |
|   |             | 5,463,565                          | 10/31/1995                                 | Cookson et al.                                     |   |
|   |             | 5,473,687                          | 12/5/1995                                  | Lipscomb et al.                                    |   |
| Examiner<br>Signature                               |             |                                    |  | Date<br>Considered                                 |   |

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

|  |    |    |    |                          |                  |
|--|----|----|----|--------------------------|------------------|
| <b>IDS Form PTO/SB/08: Substitute for form 1449A/PTO</b><br><br><b>INFORMATION DISCLOSURE<br/>STATEMENT BY APPLICANT</b><br><br><i>(Use as many sheets as necessary)</i> |    |    |    | <b>Complete if Known</b> |                  |
|  |    |    |    | Application Number       | 10/696,659       |
|  |    |    |    | Filing Date              | October 28, 2003 |
|  |    |    |    | First Named Inventor     | Karl L. GINTER   |
|  |    |    |    | Art Unit                 | 2132             |
|  |    |    |    | Examiner Name            | Justin T. DARROW |
| Sheet  | 12 | of | 61 | Attorney Docket Number   | 07451.0001-23000 |

| U.S. PATENTS AND PUBLISHED U.S. PATENT APPLICATIONS |             |                             |  |  |   |
|---|-------------|-----------------------------|--|--|---|
| Examiner<br>Initials                                | Cite<br>No. | Document Number             | Issue or<br>Publication Date<br>MM-DD-YYYY | Name of Patentee or<br>Applicant of Cited Document | Pages, Columns, Lines, Where<br>Relevant Passages or Relevant<br>Figures Appear |
|   |             | Number-Kind Code (if known) |  |  |   |
|   |             | 5,473,692                   | 12/5/1995                                  | Davis  |   |
|   |             | 5,479,509                   | 12/26/1995                                 | Ugon   |   |
|   |             | 5,485,622                   | 1/16/1996                                  | Yamaki   |   |
|   |             | 5,490,216                   | 2/6/1996                                   | Ricahrdson III                                     |   |
|   |             | 5,491,800                   | 2/13/1996                                  | Goldsmith et al.                                   |   |
|   |             | 5,497,479                   | 3/5/1996                                   | Hombuckle  |   |
|   |             | 5,497,491                   | 3/5/1996                                   | Mitchell et al.                                    |   |
|   |             | 5,499,298                   | 3/12/1996                                  | Narasimhalu et al.                                 |   |
|   |             | 5,504,757                   | 4/1/1996                                   | Cook et al.  |   |
|   |             | 5,504,818                   | 4/2/1996                                   | Okano  |   |
|   |             | 5,504,837                   | 4/2/1996                                   | Griffeth et al.                                    |   |
|   |             | 5,505,461                   | 4/9/1996                                   | Bell et al.  |   |
|   |             | 5,508,913                   | 4/16/1996                                  | Yamamoto et al.                                    |   |
|   |             | 5,509,070                   | 4/16/1996                                  | Schull   |   |
|   |             | 5,513,261                   | 4/30/1996                                  | Maher  |   |
|   |             | 5,517,518                   | 5/14/1996                                  | Morson et al.                                      |   |
|   |             | 5,521,815                   | 5/28/1996                                  | Rose Jr. et al.                                    |   |
|   |             | 5,524,933                   | 6/11/1996                                  | Kunt et al.  |   |
|   |             | 5,530,235                   | 6/25/1996                                  | Stefik et al.                                      |   |
|   |             | 5,530,752                   | 6/25/1996                                  | Rubin  |   |
|   |             | 5,533,123                   | 7/2/1996                                   | Force et al.                                       |   |
|   |             | 5,534,855                   | 7/9/1996                                   | Shockley, et al.                                   |   |
|   |             | 5,534,975                   | 7/9/1996                                   | Stefik et al.                                      |   |
|   |             | 5,535,322                   | 7/9/1996                                   | Hecht  |   |
|   |             | 5,537,526                   | 7/16/1996                                  | Anderson et al.                                    |   |
|   |             | 5,539,735                   | 7/23/1996                                  | Moskowitz  |   |
|   |             | 5,539,828                   | 7/23/1996                                  | Davis  |   |
|   |             | 5,550,971                   | 8/27/1996                                  | Brunner et al.                                     |   |
|   |             | 5,553,282                   | 9/3/1996                                   | Parrish et al.                                     |   |
| Examiner<br>Signature                               |             |                             |  | Date<br>Considered                                 |   |

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

|  |    |    |    |                          |                  |
|--|----|----|----|--------------------------|------------------|
| <b>IDS Form PTO/SB/08: Substitute for form 1449A/PTO</b><br><br><b>INFORMATION DISCLOSURE<br/>STATEMENT BY APPLICANT</b><br><br><i>(Use as many sheets as necessary)</i> |    |    |    | <b>Complete if Known</b> |                  |
|  |    |    |    | Application Number       | 10/696,659       |
|  |    |    |    | Filing Date              | October 28, 2003 |
|  |    |    |    | First Named Inventor     | Karl L. GINTER   |
|  |    |    |    | Art Unit                 | 2132             |
|  |    |    |    | Examiner Name            | Justin T. DARROW |
| Sheet  | 13 | of | 61 | Attorney Docket Number   | 07451.0001-23000 |

| U.S. PATENTS AND PUBLISHED U.S. PATENT APPLICATIONS |          |                             |   |   |   |
|---|----------|-----------------------------|---|---|---|
| Examiner Initials                                   | Cite No. | Document Number             | Issue or Publication Date<br>MM-DD-YYYY | Name of Patentee or Applicant of Cited Document | Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear |
|   |          | Number-Kind Code (if known) |   |   |   |
|   |          | 5,557,518                   | 9/17/1996                               | Rosen   |   |
|   |          | 5,557,798                   | 9/17/1996                               | Skeen et al.                                    |   |
|   |          | 5,563,946                   | 10/8/1996                               | Cooper et al.                                   |   |
|   |          | 5,568,552                   | 10/22/1996                              | Davis   |   |
|   |          | 5,572,673                   | 11/5/1996                               | Shurts  |   |
|   |          | 5,574,962                   | 11/12/1996                              | Fardeau et al.                                  |   |
|   |          | 5,577,209                   | 11/19/1996                              | Boyle et al.                                    |   |
|   |          | 5,581,686                   | 12/3/1996                               | Koppolu et al.                                  |   |
|   |          | 5,581,800                   | 12/3/1996                               | Fardeau et al.                                  |   |
|   |          | 5,592,549                   | 1/7/1997                                | Nagel et al.                                    |   |
|   |          | 5,603,031                   | 2/11/1997                               | White et al.                                    |   |
|   |          | 5,606,609                   | 2/25/1997                               | Houser et al.                                   |   |
|   |          | 5,613,004                   | 3/18/1997                               | Cooperman et al.                                |   |
|   |          | 5,621,797                   | 4/15/1997                               | Rosen   |   |
|   |          | 5,625,693                   | 4/29/1997                               | Rohatgi et al.                                  |   |
|   |          | 5,629,770                   | 5/13/1997                               | Brassil et al.                                  |   |
|   |          | 5,629,980                   | 5/13/1997                               | Stefik et al.                                   |   |
|   |          | 5,633,932                   | 5/27/1997                               | Davis et al.                                    |   |
|   |          | 5,634,012                   | 5/27/1997                               | Stefik et al.                                   |   |
|   |          | 5,636,276                   | 6/3/1997                                | Brugger   |   |
|   |          | 5,636,292                   | 6/3/1997                                | Rhoads  |   |
|   |          | 5,638,443                   | 6/10/1997                               | Stefik et al.                                   |   |
|   |          | 5,638,504                   | 6/10/1997                               | Scott et al.                                    |   |
|   |          | 5,640,546                   | 6/17/1997                               | Gopinath et al.                                 |   |
|   |          | 5,644,686                   | 7/1/1997                                | Hekmatpour                                      |   |
|   |          | 5,646,997                   | 7/8/1997                                | Barton  |   |
|   |          | 5,649,099                   | 7/15/1997                               | Theimer et al.                                  |   |
|   |          | 5,655,077                   | 8/5/1997                                | Jones et al.                                    |   |
|   |          | 5,671,279                   | 9/23/1997                               | Elgamal   |   |
| Examiner Signature                                  |          |                             |   | Date Considered                                 |   |

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.



|  |    |    |    |                          |                  |
|--|----|----|----|--------------------------|------------------|
| <b>IDS Form PTO/SB/08: Substitute for form 1449A/PTO</b><br><br><b>INFORMATION DISCLOSURE<br/>STATEMENT BY APPLICANT</b><br><br><i>(Use as many sheets as necessary)</i> |    |    |    | <b>Complete if Known</b> |                  |
|  |    |    |    | Application Number       | 10/696,659       |
|  |    |    |    | Filing Date              | October 28, 2003 |
|  |    |    |    | First Named Inventor     | Karl L. GINTER   |
|  |    |    |    | Art Unit                 | 2132             |
|  |    |    |    | Examiner Name            | Justin T. DARROW |
| Sheet  | 14 | of | 61 | Attorney Docket Number   | 07451.0001-23000 |

| U.S. PATENTS AND PUBLISHED U.S. PATENT APPLICATIONS |             |                             |  |  |   |
|---|-------------|-----------------------------|--|--|---|
| Examiner<br>Initials                                | Cite<br>No. | Document Number             | Issue or<br>Publication Date<br>MM-DD-YYYY | Name of Patentee or<br>Applicant of Cited Document | Pages, Columns, Lines, Where<br>Relevant Passages or Relevant<br>Figures Appear |
|   |             | Number-Kind Code (if known) |  |  |   |
|   |             | 5,678,170                   | 10/14/1997                                 | Grube, et al.                                      |   |
|   |             | 5,687,236                   | 11/11/1997                                 | Moskowitz et al.                                   |   |
|   |             | 5,689,565                   | 11/18/1997                                 | Spies et al.                                       |   |
|   |             | 5,689,566                   | 11/18/1997                                 | Nguyen   |   |
|   |             | 5,689,587                   | 11/18/1997                                 | Bender et al.                                      |   |
|   |             | 5,692,047                   | 11/25/1997                                 | McManis  |   |
|   |             | 5,692,180                   | 11/25/1997                                 | Lee  |   |
|   |             | 5,692,980                   | 12/2/1997                                  | Trotman  |   |
|   |             | 5,699,427                   | 12/16/1997                                 | Chow et al.  |   |
|   |             | 5,710,834                   | 1/20/1998                                  | Rhoads   |   |
|   |             | 5,715,314                   | 2/3/1998                                   | Payne et al.                                       |   |
|   |             | 5,715,403                   | 2/3/1998                                   | Stefik   |   |
|   |             | 5,717,923                   | 2/10/1998                                  | Dedrick  |   |
|   |             | 5,721,788                   | 2/24/1998                                  | Powell et al.                                      |   |
|   |             | 5,724,424                   | 3/3/1998                                   | Gifford  |   |
|   |             | 5,724,425                   | 3/3/1998                                   | Chang et al.                                       |   |
|   |             | 5,732,398                   | 3/24/1998                                  | Tagawa   |   |
|   |             | 5,734,719                   | 3/31/1998                                  | Tseudosetal  |   |
|   |             | 5,740,549                   | 4/14/1998                                  | Reilly et al.                                      |   |
|   |             | 5,745,569                   | 4/28/1998                                  | Moskowitz et al.                                   |   |
|   |             | 5,745,604                   | 4/28/1998                                  | Rhoads   |   |
|   |             | 5,745,678                   | 4/28/1998                                  | Herzberg et al.                                    |   |
|   |             | 5,748,763                   | 5/5/1998                                   | Rhoads   |   |
|   |             | 5,748,783                   | 5/5/1998                                   | Rhoads   |   |
|   |             | 5,748,960                   | 5/5/1998                                   | Fischer  |   |
|   |             | 5,754,849                   | 5/19/1998                                  | Dyer et al.  |   |
|   |             | 5,757,914                   | 5/26/1998                                  | McManis  |   |
|   |             | 5,758,152                   | 5/26/1998                                  | LeTourneau   |   |

|                       |  |                    |  |
|-----------------------|--|--------------------|--|
| Examiner<br>Signature |  | Date<br>Considered |  |
|-----------------------|--|--------------------|--|

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

|  |    |    |    |                          |  |                  |
|--|----|----|----|--------------------------|--|------------------|
| <b>IDS Form PTO/SB/08: Substitute for form 1449A/PTO</b><br><br><b>INFORMATION DISCLOSURE<br/>STATEMENT BY APPLICANT</b><br><br><i>(Use as many sheets as necessary)</i> |    |    |    | <b>Complete if Known</b> |  |                  |
|  |    |    |    | Application Number       |  | 10/696,659       |
|  |    |    |    | Filing Date              |  | October 28, 2003 |
|  |    |    |    | First Named Inventor     |  | Karl L. GINTER   |
|  |    |    |    | Art Unit                 |  | 2132             |
|  |    |    |    | Examiner Name            |  | Justin T. DARROW |
| Sheet  | 15 | of | 61 | Attorney Docket Number   |  | 07451.0001-23000 |

| U.S. PATENTS AND PUBLISHED U.S. PATENT APPLICATIONS |             |                             |  |  |   |
|---|-------------|-----------------------------|--|--|---|
| Examiner<br>Initials                                | Cite<br>No. | Document Number             | Issue or<br>Publication Date<br>MM-DD-YYYY | Name of Patentee or<br>Applicant of Cited Document | Pages, Columns, Lines, Where<br>Relevant Passages or Relevant<br>Figures Appear |
|   |             | Number-Kind Code (if known) |  |  |   |
|   |             | 5,759,10                    | 6/2/1998                                   | Von Kohorn   |   |
|   |             | 5,765,152                   | 6/9/1998                                   | Erickson   |   |
|   |             | 5,768,426                   | 6/16/1998                                  | Rhoads   |   |
|   |             | 5,774,872                   | 6/30/1998                                  | Golden, et al.                                     |   |
|   |             | 5,778,385                   | 7/7/1998                                   | Pratt  |   |
|   |             | 5,787,334                   | 7/28/1998                                  | Fardeau et al.                                     |   |
|   |             | 5,802,590                   | 9/1/1998                                   | Draves   |   |
|   |             | 5,819,263                   | 10/6/1998                                  | Bromley et al.                                     |   |
|   |             | 5,832,119                   | 11/3/1998                                  | Rhoads   |   |
|   |             | 5,842,173                   | 11/24/1998                                 | Strum et al.                                       |   |
|   |             | 5,845,281                   | 12/1/1998                                  | Benson et al.                                      |   |
|   |             | 5,878,421                   | 3/2/1999                                   | Ferrel et al.                                      |   |
|   |             | 5,892,899                   | 4/6/1999                                   | Aucsmith et al.                                    |   |
|   |             | 5,892,900                   | 4/6/1999                                   | Ginter et al.                                      |   |
|   |             | 5,896,454                   | 4/20/1999                                  | Cookson et al.                                     |   |
|   |             | 5,910,987                   | 6/8/1999                                   | Ginter et al.                                      |   |
|   |             | 5,915,019                   | 6/22/1999                                  | Ginter et al.                                      |   |
|   |             | 5,917,912                   | 6/29/1999                                  | Ginter et al.                                      |   |
|   |             | 5,920,861                   | 7/6/1999                                   | Hall et al.  |   |
|   |             | 5,940,504                   | 8/17/1999                                  | Griswold   |   |
|   |             | 5,940,505                   | 8/17/1999                                  | Kanamaru   |   |
|   |             | 5,943,422                   | 8/24/1999                                  | Van Wie et al.                                     |   |
|   |             | 5,949,876                   | 9/7/1999                                   | Ginter et al.                                      |   |
|   |             | 5,956,408                   | 9/21/1999                                  | Arnold   |   |
|   |             | 5,966,440                   | 10/12/1999                                 | Hair   |   |
|   |             | 5,978,484                   | 11/2/1999                                  | Apperson et al.                                    |   |
|   |             | 5,982,891                   | 11/9/1999                                  | Ginter et al.                                      |   |
|   |             | 5,991,876                   | 11/23/1999                                 | Johnson et al.                                     |   |
|   |             | 5,995,756                   | 12/7/1999                                  | Schmodde et al.                                    |   |
| Examiner<br>Signature                               |             |                             |  | Date<br>Considered                                 |   |

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

|  |    |    |    |                               |                  |
|--|----|----|----|-------------------------------|------------------|
| <b>IDS Form PTO/SB/08: Substitute for form 1449A/PTO</b><br><br><b>INFORMATION DISCLOSURE<br/>STATEMENT BY APPLICANT</b><br><br><i>(Use as many sheets as necessary)</i> |    |    |    | <b>Complete if Known</b>      |                  |
|  |    |    |    | <i>Application Number</i>     | 10/696,659       |
|  |    |    |    | <i>Filing Date</i>            | October 28, 2003 |
|  |    |    |    | <i>First Named Inventor</i>   | Karl L. GINTER   |
|  |    |    |    | <i>Art Unit</i>               | 2132             |
|  |    |    |    | <i>Examiner Name</i>          | Justin T. DARROW |
| Sheet  | 16 | of | 61 | <i>Attorney Docket Number</i> | 07451.0001-23000 |

| U.S. PATENTS AND PUBLISHED U.S. PATENT APPLICATIONS |  |           |            |                 |  |
|---|--|-----------|------------|-----------------|--|
|   |  | 5,999,949 | 12/7/1999  | Crandall        |  |
|   |  | 6,009,170 | 12/28/1999 | Sako et al.     |  |
|   |  | 6,016,393 | 1/18/2000  | White et al.    |  |
|   |  | 6,026,193 | 2/15/2000  | Rhoads          |  |
|   |  | 6,044,205 | 3/28/2000  | Reed et al.     |  |
|   |  | 6,102,965 | 8/15/2000  | Dye et al.      |  |
|   |  | 6,112,181 | 8/29/2000  | Shear et al.    |  |
|   |  | 6,135,646 | 10/24/2000 | Kahn et al.     |  |
|   |  | 6,138,119 | 10/24/2000 | Hall et al.     |  |
|   |  | 6,157,721 | 12/5/2000  | Shear et al.    |  |
|   |  | 6,185,683 | 2/6/2004   | Ginter et al.   |  |
|   |  | 6,237,786 | 5/29/2004  | Ginter et al.   |  |
|   |  | 6,240,185 | 5/29/2004  | Van Wie et al.  |  |
|   |  | 6,253,193 | 6/26/2004  | Ginter et al.   |  |
|   |  | 6,292,569 | 9/18/2004  | Shear et al.    |  |
|   |  | 6,363,488 | 3/2/2004   | Ginter et al.   |  |
|   |  | 6,363,488 | 3/2/2002   | Ginter et al.   |  |
|   |  | 6,389,402 | 5/2/2004   | Ginter et al.   |  |
|   |  | 6,427,140 | 7/2/2004   | Ginter et al.   |  |
|   |  | 6,449,367 | 9/2/2004   | Van Wie et al.  |  |
|   |  | 6,618,484 | 9/3/2004   | Van Wie et al.  |  |
|   |  | 6,640,304 | 10/3/2004  | Ginter et al.   |  |
|   |  | 6,658,568 | 12/3/2004  | Ginter et al.   |  |
|   |  | 6,668,325 | 12/3/2004  | Collberg et al. |  |
|   |  | 6,807,534 | 10/19/2004 | Erickson        |  |

| FOREIGN PATENT DOCUMENTS |             |   |                                |  |   |             |
|--------------------------|-------------|---|--------------------------------|--|---|-------------|
| Examiner<br>Initials     | Cite<br>No. | Foreign Patent Document                     | Publication Date<br>MM-DD-YYYY | Name of Patentee or<br>Applicant of Cited Document | Pages, Columns,<br>Lines, Where<br>Relevant Passages<br>or Relevant Figures<br>Appear | Translation |
|                          |             | Country Code Number Kind Code (if<br>known) |                                |  |   |             |
|                          |             | 01-068835                                   | 3/14/1989                      | Mori Ryoichi                                       |   |             |
| Examiner<br>Signature    |             |   |                                | Date<br>Considered                                 |   |             |

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

|  |    |    |    |                          |                  |
|--|----|----|----|--------------------------|------------------|
| <p>IDS Form PTO/SB/08: Substitute for form 1449A/PTO</p> <p align="center"><b>INFORMATION DISCLOSURE<br/>STATEMENT BY APPLICANT</b></p> <p align="center"><i>(Use as many sheets as necessary)</i></p> |    |    |    | <b>Complete if Known</b> |                  |
|  |    |    |    | Application Number       | 10/696,659       |
|  |    |    |    | Filing Date              | October 28, 2003 |
|  |    |    |    | First Named Inventor     | Karl L. GINTER   |
|  |    |    |    | Art Unit                 | 2132             |
|  |    |    |    | Examiner Name            | Justin T. DARROW |
| Sheet  | 17 | of | 61 | Attorney Docket Number   | 07451.0001-23000 |

| FOREIGN PATENT DOCUMENTS |             |   |                                |  |   |             |
|--------------------------|-------------|---|--------------------------------|--|---|-------------|
| Examiner<br>Initials     | Cite<br>No. | Foreign Patent Document                     | Publication Date<br>MM-DD-YYYY | Name of Patentee or<br>Applicant of Cited Document | Pages, Columns,<br>Lines, Where<br>Relevant Passages<br>or Relevant Figures<br>Appear | Translation |
|                          |             | Country Code Number Kind Code (if<br>known) |                                |  |   |             |
|                          |             | 02-242352                                   | 9/26/1990                      | Nippon Electric Co                                 |   |             |
|                          |             | 02-247763                                   | 10/3/1990                      | Nippon Electric Co                                 |   |             |
|                          |             | 02-294855                                   | 12/5/1990                      | NEC Software Hokkaido                              |   |             |
|                          |             | 04-369068                                   | 12/21/1992                     | Chubu Nippon Denki<br>Software                     |   |             |
|                          |             | 05-020359A2                                 | 1/29/1993                      | Electronic Publishing<br>Resource                  |   |             |
|                          |             | 05-181734                                   | 7/23/1993                      | Nippon Telegraph &<br>Telephone                    |   |             |
|                          |             | 05-257783                                   | 10/8/1993                      | Hitachi Ltd  |   |             |
|                          |             | 05-268415                                   | 10/15/1993                     | Hitachi Ltd  |   |             |
|                          |             | 06-175794                                   | 6/24/1994                      | Fuji Xerox Co Ltd                                  |   |             |
|                          |             | 06-215010                                   | 8/5/1994                       | Sony Corp  |   |             |
|                          |             | 06-225059                                   | 8/12/1994                      | Hitachi Ltd  |   |             |
|                          |             | 07-056794                                   | 3/3/1995                       | Fujitsu Ltd  |   |             |
|                          |             | 07-084852                                   | 3/31/1995                      | Hitachi Ltd  |   |             |
|                          |             | 07-141138                                   | 6/2/1995                       | NEC Software Kansai                                |   |             |
|                          |             | 07-200317                                   | 8/4/1995                       | Tokyo Shibaura Electric<br>Co.                     |   |             |
|                          |             | 07-200492                                   | 8/4/1995                       | CSK Corp   |   |             |
|                          |             | 07-244639                                   | 9/19/1995                      | Fujitsu Ltd  |   |             |
|                          |             | 08-137795                                   | 5/31/1996                      | Fujitsu Ltd  |   |             |
|                          |             | 08-152990                                   | 6/11/1996                      | Canon KK   |   |             |
|                          |             | 08-185292                                   | 7/16/1996                      | Nippon Electric Co                                 |   |             |
|                          |             | 08-185298                                   | 7/16/1996                      | Canon KK   |   |             |
|                          |             | 57-000726                                   | 1/5/1982                       | USAC Electronics Ind<br>Co Ltd                     |   |             |
|                          |             | 62-225059                                   | 10/3/1987                      | Toshiba Electric Equip                             |   |             |
|                          |             | 62-241061                                   | 10/21/1987                     | Nippon Electric Co                                 |   |             |
|                          |             | 64-068835                                   | 3/14/1989                      | Mori Ryoichi                                       |   |             |

|                       |  |                    |  |
|-----------------------|--|--------------------|--|
| Examiner<br>Signature |  | Date<br>Considered |  |
|-----------------------|--|--------------------|--|

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

|  |    |    |                          |                        |                  |                  |
|--|----|----|--------------------------|------------------------|------------------|------------------|
| <b>IDS Form PTO/SB/08: Substitute for form 1449A/PTO</b><br><br><b>INFORMATION DISCLOSURE<br/>STATEMENT BY APPLICANT</b><br><br><i>(Use as many sheets as necessary)</i> |    |    | <b>Complete if Known</b> |                        |                  |                  |
|  |    |    | Application Number       |                        | 10/696,659       |                  |
|  |    |    | Filing Date              |                        | October 28, 2003 |                  |
|  |    |    | First Named Inventor     |                        | Karl L. GINTER   |                  |
|  |    |    | Art Unit                 |                        | 2132             |                  |
|  |    |    | Examiner Name            |                        | Justin T. DARROW |                  |
| Sheet  | 18 | of | 61                       | Attorney Docket Number |                  | 07451.0001-23000 |

| FOREIGN PATENT DOCUMENTS |          |  |                                |  |   |             |
|--------------------------|----------|--|--------------------------------|--|---|-------------|
| Examiner Initials        | Cite No. | Foreign Patent Document                  | Publication Date<br>MM-DD-YYYY | Name of Patentee or<br>Applicant of Cited Document | Pages, Columns,<br>Lines, Where<br>Relevant Passages<br>or Relevant Figures<br>Appear | Translation |
|                          |          | Country Code Number Kind Code (if known) |                                |  |   |             |
|                          |          | 9 004 79                                 | 12/1/1984                      | Raph Smets   |   |             |
|                          |          | AU-A-36815/97                            | 2/19/1998                      | Intertrust Technologies Corp.                      |   |             |
|                          |          | AU-A-36816/97                            | 2/19/1998                      | Intertrust Technologies Corp.                      |   |             |
|                          |          | AU-A-36840/97                            | 2/19/1998                      | Intertrust Technologies Corp.                      |   |             |
|                          |          | DE 29 43 436 A1                          | 10/26/1979                     | Wolfram Szepanksi                                  |   |             |
|                          |          | DE 3 803 982                             | 1/25/1990                      | Igor Groza   |   |             |
|                          |          | EP 0 084 441 A2                          | 7/27/1983                      | Tabs Limited                                       |   |             |
|                          |          | EP 0 128 672 A1                          | 12/19/1984                     | Ira Dennis Gale                                    |   |             |
|                          |          | EP 0 135 422 A1                          | 3/27/1985                      | Christophe Leveque                                 |   |             |
|                          |          | EP 0 180 460 A1                          | 5/7/1986                       | Sony Corporation                                   |   |             |
|                          |          | EP 0 367 700 A2                          | 5/9/1990                       | International Business Machines Corporation        |   |             |
|                          |          | EP 0 370 146 A1                          | 5/30/1990                      | Strategic Processing Corporation                   |   |             |
|                          |          | EP 0 398 645 B1                          | 11/22/1990                     | IBM  |   |             |
|                          |          | EP 0 399 822 A2                          | 11/28/1990                     | Hewlett-Packard Company                            |   |             |
|                          |          | EP 0 421 409 A2                          | 4/10/1991                      | International Business Machines Corporation        |   |             |
|                          |          | EP 0 456 386 A2                          | 11/13/1991                     | International Computers Limited                    |   |             |
|                          |          | EP 0 469 864 A2, A3                      | 2/5/1992                       | Xerox Corporation                                  |   |             |
|                          |          | EP 0 565 314 A2                          | 10/13/1993                     | Addison M. Fischer                                 |   |             |
|                          |          | EP 0 567 800 A1                          | 11/3/1993                      | International Business Machines Corporation        |   |             |
|                          |          | EP 0 570 123                             | 11/18/1993                     | Addison M. Fischer                                 |   |             |
|                          |          | EP 0 593 305 A2                          | 4/20/1994                      | Matsushita Electric Industrial Co., Ltd.           |   |             |
|                          |          | EP 0 651 554 A1                          | 5/3/1995                       | Eastman Kodak Company                              |   |             |

|                    |  |                 |  |
|--------------------|--|-----------------|--|
| Examiner Signature |  | Date Considered |  |
|--------------------|--|-----------------|--|

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

|  |    |    |    |                          |                  |
|--|----|----|----|--------------------------|------------------|
| <b>IDS Form PTO/SB/08: Substitute for form 1449A/PTO</b><br><br><b>INFORMATION DISCLOSURE<br/>STATEMENT BY APPLICANT</b><br><br><i>(Use as many sheets as necessary)</i> |    |    |    | <b>Complete if Known</b> |                  |
|  |    |    |    | Application Number       | 10/696,659       |
|  |    |    |    | Filing Date              | October 28, 2003 |
|  |    |    |    | First Named Inventor     | Karl L. GINTER   |
|  |    |    |    | Art Unit                 | 2132             |
|  |    |    |    | Examiner Name            | Justin T. DARROW |
| Sheet  | 19 | of | 61 | Attorney Docket Number   | 07451.0001-23000 |

| FOREIGN PATENT DOCUMENTS |             |   |                                |  |   |             |
|--------------------------|-------------|---|--------------------------------|--|---|-------------|
| Examiner<br>Initials     | Cite<br>No. | Foreign Patent Document                     | Publication Date<br>MM-DD-YYYY | Name of Patentee or<br>Applicant of Cited Document | Pages, Columns,<br>Lines, Where<br>Relevant Passages<br>or Relevant Figures<br>Appear | Translation |
|                          |             | Country Code Number Kind Code (if<br>known) |                                |  |   |             |
|                          |             | EP 0 653 695 A2                             | 5/17/1995                      | AT&T Corp.   |   |             |
|                          |             | EP 0 668 695 A2, A3                         | 8/23/1995                      | Victor Company of<br>Japan, Limited                |   |             |
|                          |             | EP 0 695 985 A1                             | 2/7/1996                       | Microsoft Corporation                              |   |             |
|                          |             | EP 0 696 798 A1                             | 2/14/1996                      | Sony Corporation                                   |   |             |
|                          |             | EP 0 714 204 A2                             | 5/29/1996                      | LG Electronics Inc.                                |   |             |
|                          |             | EP 0 715 243 A1                             | 6/5/1996                       | Xerox Corporation                                  |   |             |
|                          |             | EP 0 715 244 A1                             | 6/5/1996                       | Xerox Corporation                                  |   |             |
|                          |             | EP 0 715 245 A1                             | 6/5/1996                       | Xerox Corporation                                  |   |             |
|                          |             | EP 0 715 246 A1                             | 6/5/1996                       | Xerox Corporation                                  |   |             |
|                          |             | EP 0 715 247 A1                             | 6/5/1996                       | Xerox Corporation                                  |   |             |
|                          |             | EP 0 725 376 A2                             | 8/7/1996                       | Sony Corporation                                   |   |             |
|                          |             | EP 0 749 081 A1                             | 12/18/1996                     | Pointcast Inc.                                     |   |             |
|                          |             | EP 0 763 936 A2                             | 3/19/1997                      | LG Electronics Inc.                                |   |             |
|                          |             | EP 0 778 513 A2                             | 6/11/1997                      | Matsushita Electrical<br>Industrial Co., Inc.      |   |             |
|                          |             | EP 0 795 873 A2                             | 9/17/1997                      | Pioneer Electronic<br>Corporation                  |   |             |
|                          |             | EP 0 800 312 A1                             | 10/8/1997                      | Matsushita Electrical<br>Industrial Co., Inc.      |   |             |
|                          |             | EP 0 913 757 A2                             | 5/6/1999                       | Xerox Corporation                                  |   |             |
|                          |             | GB2136175A                                  | 9/12/1984                      | Atalia Corporation                                 |   |             |
|                          |             | GB2264796A                                  | 9/8/1993                       | International Business<br>Machines Corporation     |   |             |
|                          |             | GB2294348A                                  | 4/24/1996                      | Intergame  |   |             |
|                          |             | GB2295947A                                  | 6/12/1996                      | Mitsubishi Corporation                             |   |             |
|                          |             | WO 85/02310                                 | 5/23/1985                      | Softnet, Incorporated                              |   |             |
|                          |             | WO 85/03584                                 | 8/15/1985                      | Paul Guignard                                      |   |             |
|                          |             | WO 90/02382                                 | 3/8/1990                       | Indata, Corporation                                |   |             |
|                          |             | WO 92/06438                                 | 4/16/1992                      | Thomas A. Bush                                     |   |             |

|                       |  |                    |  |
|-----------------------|--|--------------------|--|
| Examiner<br>Signature |  | Date<br>Considered |  |
|-----------------------|--|--------------------|--|

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

|  |    |    |    |                          |                  |
|--|----|----|----|--------------------------|------------------|
| <b>IDS Form PTO/SB/08: Substitute for form 1449A/PTO</b><br><br><b>INFORMATION DISCLOSURE<br/>STATEMENT BY APPLICANT</b><br><br><i>(Use as many sheets as necessary)</i> |    |    |    | <b>Complete if Known</b> |                  |
|  |    |    |    | Application Number       | 10/696,659       |
|  |    |    |    | Filing Date              | October 28, 2003 |
|  |    |    |    | First Named Inventor     | Karl L. GINTER   |
|  |    |    |    | Art Unit                 | 2132             |
|  |    |    |    | Examiner Name            | Justin T. DARROW |
| Sheet  | 20 | of | 61 | Attorney Docket Number   | 07451.0001-23000 |

| FOREIGN PATENT DOCUMENTS |             |   |                                |  |   |             |
|--------------------------|-------------|---|--------------------------------|--|---|-------------|
| Examiner<br>Initials     | Cite<br>No. | Foreign Patent Document                     | Publication Date<br>MM-DD-YYYY | Name of Patentee or<br>Applicant of Cited Document | Pages, Columns,<br>Lines, Where<br>Relevant Passages<br>or Relevant Figures<br>Appear | Translation |
|                          |             | Country Code Number Kind Code (if<br>known) |                                |  |   |             |
|                          |             | WO 92/22870                                 | 12/23/1992                     | ICL Data AB  |   |             |
|                          |             | WO 93/01550                                 | 1/21/1993                      | Infologic Software, Inc.                           |   |             |
|                          |             | WO 94/01821                                 | 1/20/1994                      | Secure Computing<br>Corporation                    |   |             |
|                          |             | WO 94/03859                                 | 2/17/1994                      | International Standard<br>Electric Corp.           |   |             |
|                          |             | WO 94/06103                                 | 3/17/1994                      | HNC, Inc.  |   |             |
|                          |             | WO 94/16395                                 | 7/21/1994                      | Action Technologies,<br>Inc.                       |   |             |
|                          |             | WO 94/18620                                 | 8/18/1994                      | Action Technologies,<br>Inc.                       |   |             |
|                          |             | WO 94/22266                                 | 9/29/1994                      | Macrovision Corporation                            |   |             |
|                          |             | WO 94/27406                                 | 11/24/1994                     | Macrovision Corporation                            |   |             |
|                          |             | WO 95/14289                                 | 5/26/1995                      | Pinecone Imaging<br>Corporation                    |   |             |
|                          |             | WO 96/00963                                 | 1/11/1996                      | Macrovision Corporation                            |   |             |
|                          |             | WO 96/03835                                 | 2/8/1996                       | Macrovision Corporation                            |   |             |
|                          |             | WO 96/05698                                 | 2/22/1996                      | Macrovision Corporation                            |   |             |
|                          |             | WO 96/06503                                 | 2/29/1996                      | Macrovision Corporation                            |   |             |
|                          |             | WO 96/13013                                 | 5/2/1996                       | Open Market, Inc.                                  |   |             |
|                          |             | WO 96/17467                                 | 6/6/1996                       | Frederick Herz et al.                              |   |             |
|                          |             | WO 96/21192                                 | 7/11/1996                      | Citibank, N.A.                                     |   |             |
|                          |             | WO 96/24092                                 | 8/8/1996                       | Greg Benson  |   |             |
|                          |             | WO 96/27155                                 | 9/6/1996                       | Digital Equipment<br>Corporation                   |   |             |
|                          |             | WO 97/03423                                 | 1/30/1997                      | Digital Equipment<br>Corporation                   |   |             |
|                          |             | WO 97/07656                                 | 3/6/1997                       | Backweb  |   |             |
|                          |             | WO 97/22074                                 | 6/19/1997                      | Cybergold, Inc.                                    |   |             |
|                          |             | WO 97/25816                                 | 7/17/1997                      | Sony Corporation                                   |   |             |
|                          |             | WO 97/32251                                 | 9/4/1997                       | Intermind Corporation                              |   |             |

|                       |  |                    |  |
|-----------------------|--|--------------------|--|
| Examiner<br>Signature |  | Date<br>Considered |  |
|-----------------------|--|--------------------|--|

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

|  |    |    |    |                          |  |                  |  |
|--|----|----|----|--------------------------|--|------------------|--|
| <b>INFORMATION DISCLOSURE<br/>STATEMENT BY APPLICANT</b><br><br><i>(Use as many sheets as necessary)</i> |    |    |    | <b>Complete if Known</b> |  |                  |  |
|  |    |    |    | Application Number       |  | 10/696,659       |  |
|  |    |    |    | Filing Date              |  | October 28, 2003 |  |
|  |    |    |    | First Named Inventor     |  | Karl L. GINTER   |  |
|  |    |    |    | Art Unit                 |  | 2132             |  |
|  |    |    |    | Examiner Name            |  | Justin T. DARROW |  |
| Sheet  | 21 | of | 61 | Attorney Docket Number   |  | 07451.0001-23000 |  |

| FOREIGN PATENT DOCUMENTS |          |  |                                |  |   |             |
|--------------------------|----------|--|--------------------------------|--|---|-------------|
| Examiner Initials        | Cite No. | Foreign Patent Document                  | Publication Date<br>MM-DD-YYYY | Name of Patentee or<br>Applicant of Cited Document | Pages, Columns,<br>Lines, Where<br>Relevant Passages<br>or Relevant Figures<br>Appear | Translation |
|                          |          | Country Code Number Kind Code (if known) |                                |  |   |             |
|                          |          | WO 97/43761                              | 11/20/1997                     | Intertrust Technologies Corp.                      |   |             |
|                          |          | WO 97/48203                              | 12/18/1997                     | Intel Corporation                                  |   |             |
|                          |          | WO 98/09205                              | 03/05/1998                     | Siemens Aktiengesellschaft                         |   |             |
|                          |          | WO 98/09209                              | 3/5/1998                       | Intertrust Technologies Corp.                      |   |             |
|                          |          | WO 98/10381                              | 3/12/1998                      | Intertrust Technologies Corp.                      |   |             |
|                          |          | WO 98/37481                              | 8/27/1998                      | Intertrust Technologies Corp.                      |   |             |
|                          |          | WO 98/45768                              | 10/15/1998                     | Northern Telecom Limited                           |   |             |
|                          |          | WO 99/01815                              | 1/20/1999                      | Intertrust Technologies Corp.                      |   |             |
|                          |          | WO 99/24928                              | 5/23/1999                      | Intertrust Technologies Corp.                      |   |             |
|                          |          | WO 99/48296                              | 9/23/1999                      | Intertrust Technologies Corp.                      |   |             |

| NON PATENT LITERATURE DOCUMENTS |          |   |             |
|---------------------------------|----------|---|-------------|
| Examiner Initials               | Cite No. | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.   | Translation |
|                                 |          | A Brief History of the Green Project, viewed on March 12, 2002 at < <a href="http://java.sun.com/people/jag/green/index.html">http://java.sun.com/people/jag/green/index.html</a> > pp. 1-2.  |             |
|                                 |          | A Guide to Understanding Security Modeling in Trusted Systems, National Security Agency, October 1992, 122 pages.   |             |
|                                 |          | A Publication of the Electronic Frontier Foundation, EFFector Online, Vol. 6, No. 6, 8 pages, Dec. 6, 1993.   |             |
|                                 |          | A2b's Recent Press Coverage, 1998.  |             |
|                                 |          | Abadi, M. et al., "Authentication and Delegation with Smart-cards," Technical Report 67, DEC Systems Research Center, October 1990, available at < <a href="http://citeseer.nj.nec.com/article/abadi92authentication.html">http://citeseer.nj.nec.com/article/abadi92authentication.html</a> >, 22 pages. |             |
|                                 |          | Abadi, M., et al., "A Calculus for Access Control in Distributed Systems", Digital Equipment Corporation, Feb. 28, 1991, revised August 28, 1991.   |             |

|                    |  |                 |  |
|--------------------|--|-----------------|--|
| Examiner Signature |  | Date Considered |  |
|--------------------|--|-----------------|--|

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.



|   |    |    |    |                          |                  |
|---|----|----|----|--------------------------|------------------|
| IDS Form PTO/SB/08: Substitute for form 1449A/PTO<br><br><b>INFORMATION DISCLOSURE<br/>STATEMENT BY APPLICANT</b><br><br><i>(Use as many sheets as necessary)</i> |    |    |    | <b>Complete if Known</b> |                  |
|   |    |    |    | Application Number       | 10/696,659       |
|   |    |    |    | Filing Date              | October 28, 2003 |
|   |    |    |    | First Named Inventor     | Karl L. GINTER   |
|   |    |    |    | Art Unit                 | 2132             |
|   |    |    |    | Examiner Name            | Justin T. DARROW |
| Sheet   | 22 | of | 61 | Attorney Docket Number   | 07451.0001-23000 |

| NON PATENT LITERATURE DOCUMENTS |          |   |             |  |
|---------------------------------|----------|---|-------------|--|
| Examiner Initials               | Cite No. | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published. | Translation |  |
|                                 |          | About the Digital Notary Service, Surety Technologies, 1994-5, 6 pages.   |             |  |
|                                 |          | Abrams, Marshall D, "Renewed Understanding of Access Control Policies", Proceedings of the 16th Computing National Security Conference, 1993.   |             |  |
|                                 |          | Access Control and Copyright Protection for Images Security Technology for Graphics and Communication Systems - RACE M1005: ACCOPI, webpage, Security Projects at Fraunhofer 1GD, 2002.   |             |  |
|                                 |          | Achievements Archive, www.imprimatur.net/ web pages.  |             |  |
|                                 |          | Aharonian, G., "Software Patents - Relative Comparison of EPO/PTO/JPO Software Searching Capabilities," Source Translation & Optimization.  |             |  |
|                                 |          | An Introduction to Safety and Security in Telescript, (undated), 8 pages.   |             |  |
|                                 |          | Anderson, R., "Why Cryptosystems Fail," University Computer Laboratory, Cambridge, Massachusetts, (undated), pp. 1-34.  |             |  |
|                                 |          | Antonelli et al, "Access Control in a Workstation-Based Distributed Computing Environment," CITI Technical Report 90-2, July 17, 1990.  |             |  |
|                                 |          | Applications Requirements for Innovative Video Programming: How to Foster (or Cripple) Program Development Opportunities for Interactive Video Programs Delivered on Optical Media: A Challenge for the Introduction of DVD (Digital Video Disc), Sheraton      |             |  |
|                                 |          | Argent Information, Q&A Sheet, Document from the Internet: <http://www.digital-watermark.com/>, Copyright 1995, The DICE Company, (last modified June 16, 1996), 7 pages.   |             |  |
|                                 |          | Arms, W.Y., "Key Concepts in the Architecture of the Digital Library," D-Lib Magazine, Jul. 1995.   |             |  |
|                                 |          | Arneke, D. et al., "AT&T Encryption System Protects Information Services," (News Release), Jan. 9, 1995, 1 page.  |             |  |
|                                 |          | Atkins, D., et al., "The Magic Words are Squeamish Ossifrage," (undated), 15 pages.   |             |  |
|                                 |          | Atkinson, R., "Security Architecture for the Internet Protocol," Network Working Group RFC 1825, Aug. 1995.   |             |  |
|                                 |          | Aucsmith, D., et al., "Common Data Security Architecture," Intel Architecture Lab, Presentation Material, January 22, 1996, pp. 1-16.   |             |  |
|                                 |          | Aucsmith, David, "Tamper Resistant Software: An Implementation", IAL.   |             |  |
|                                 |          | Authentification dans les environnements de traitement distribues, Information Systems Audit and Control Association-Montreal Chapter, viewed on March 25, 2002 at <http://www.apvcsi-montreal.ca/en/publications/contact133.html> pp. 1-15.                    |             |  |
|                                 |          | Avery, et al., "Recommender Systems for Evaluating Computer Messages," Communications of the ACM, Mar. 1997, pp. 88-89.   |             |  |

|                    |  |                 |  |
|--------------------|--|-----------------|--|
| Examiner Signature |  | Date Considered |  |
|--------------------|--|-----------------|--|

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

|  |    |    |    |                          |                  |
|--|----|----|----|--------------------------|------------------|
| <b>IDS Form PTO/SB/08: Substitute for form 1449A/PTO</b><br><br><b>INFORMATION DISCLOSURE<br/>STATEMENT BY APPLICANT</b><br><br><i>(Use as many sheets as necessary)</i> |    |    |    | <b>Complete if Known</b> |                  |
|  |    |    |    | Application Number       | 10/696,659       |
|  |    |    |    | Filing Date              | October 28, 2003 |
|  |    |    |    | First Named Inventor     | Karl L. GINTER   |
|  |    |    |    | Art Unit                 | 2132             |
|  |    |    |    | Examiner Name            | Justin T. DARROW |
| Sheet  | 23 | of | 61 | Attorney Docket Number   | 07451.0001-23000 |

| NON PATENT LITERATURE DOCUMENTS |          |   |             |
|---------------------------------|----------|---|-------------|
| Examiner Initials               | Cite No. | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published. | Translation |
|                                 |          | Background on the Administration's Telecommunications Policy Reform Initiative, News Release, The White House, Office of the President, Jan. 11, 1994, 7 pages.   |             |
|                                 |          | Baggett, C., "Cable's Emerging Role in the Information Superhighway," Cable Labs, (undated), 13 slides.   |             |
|                                 |          | Baker, R.H., The Computer Security Handbook, Tab Books, Inc., 1985.   |             |
|                                 |          | Balbanovic, et al., "Content-based, Collaborative Recommendation, Communications of the ACM, Mar. 1997, pp. 66-72.  |             |
|                                 |          | Barassi, T.S., "The Cybernotary: Public Key Registration and Certification and Authentication of International Legal Transactions," (undated), 4 pages.   |             |
|                                 |          | Barnes, H., memo to Henry LaMuth, subject: George Gilder articles, May 31, 1994, 2 pages.   |             |
|                                 |          | Bart, D., "Comments in the Matter of Public Hearing and Request for Comments on the International Aspects of the National Information Infrastructure," Before the Department of Commerce, Aug. 12, 1994, 17 pages.  |             |
|                                 |          | Bartock, P.F., et al., "Guide to Securing Microsoft Windows NT Networks," National Security Agency, September 18, 2001, pp. 1-132.  |             |
|                                 |          | Baum, M., "Worldwide Electronic Commerce: Law, Policy and Controls Conference," (program details) Nov. 11, 1993, 18 pages.  |             |
|                                 |          | Bellare, M., "iKP-A Family of Secure Electronic Payment Protocols," April 16, 1995, pp. 1-19.   |             |
|                                 |          | Bell-Labs Secure Technologies, "Information Vending Encryption System (IVES)™," Lucent Technologies, May 31, 2002, pp. 1-16.  |             |
|                                 |          | Bellovin, S.M., "Encrypted Key Exchange: Password-Based Protocols Secure Against Dictionary Attacks," Proceedings of the IEEE Symposium on Research in Security and Privacy, Oakland, California, May 1992, 13 pages.   |             |
|                                 |          | Bellovin, S.M., "There Be Dragons," AT&T Bell Laboratories, August 15, 1992, 16 pages.  |             |
|                                 |          | Bender et al. "Techniques for Data Hiding," IBM Systems Journal, Vol. 35, Nos. 3&4, 1996.   |             |
|                                 |          | Berghal et al., "Protecting Ownership Rights Through Digital Watermarking," IEEE Computing, Vol. 29, No. 7, Jul. 1996.  |             |
|                                 |          | Berkovitz, S. et al., "Authentication of Mobile Agents," Mobile Agents and Security, Springer-Verlag, Giovanni Vigna, Ed., 1998, pp. 114-136.   |             |
|                                 |          | Berners-Lee, T.J., et al., "Networked Information Services: The World-Wide Web," Computer Networks and ISDN Systems, 1992, pp. 454-459.   |             |
|                                 |          | Bernstein et al., "Copyrights, Distribution Chains, Integrity, and Privacy: The Need for a Standards-Based Solution," Electronic Publishing Resources.  |             |

|                    |                 |
|--------------------|-----------------|
| Examiner Signature | Date Considered |
|--------------------|-----------------|

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

|  |    |    |    |                          |                  |
|--|----|----|----|--------------------------|------------------|
| IDS Form PTO/SB/08: Substitute for form 1449A/PTO  |    |    |    | <b>Complete if Known</b> |                  |
| <b>INFORMATION DISCLOSURE<br/>STATEMENT BY APPLICANT</b><br><br><i>(Use as many sheets as necessary)</i> |    |    |    | Application Number       | 10/696,659       |
|  |    |    |    | Filing Date              | October 28, 2003 |
|  |    |    |    | First Named Inventor     | Karl L. GINTER   |
|  |    |    |    | Art Unit                 | 2132             |
|  |    |    |    | Examiner Name            | Justin T. DARROW |
| Sheet  | 24 | of | 61 | Attorney Docket Number   | 07451.0001-23000 |

| NON PATENT LITERATURE DOCUMENTS |          |  |             |
|---------------------------------|----------|--|-------------|
| Examiner Initials               | Cite No. | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.  | Translation |
|                                 |          | Bertino, Elisa, "Data Hiding and Security in Object-Oriented Databases," Dipartimento di Matematica, Universita di Genova, IEEE, 1992, pp.338-347.   |             |
|                                 |          | Best, R.M., "Preventing Software Piracy With Crypto-Microprocessors," Digest of Papers, VLSI: New Architectural Horizons, Feb. 1980, pp. 466-69.   |             |
|                                 |          | Bickel, R., et al., "Guide to Securing Microsoft Windows XP," National Security Agency, October 30, 2002, pp. 1-129.   |             |
|                                 |          | Birrell, Andrew, D., et al., "A Global Authentication Service Without Global Trust," Proceedings of the IEEE Symposium on Security and Privacy, Oakland, California, April 1986, pp. 1-11.   |             |
|                                 |          | Bisbey II, R.L. et al., "Encapsulation: An Approach to Operating System Security," (USC/Information Science Institute, Marina Del Rey, CA), Oct. 1973, pp. 666-75.   |             |
|                                 |          | Bishop, M., "Anatomy of a Proactive Password Changer," Department of Mathematics and Computer Science, Dartmouth College, (undated), 15 pages.   |             |
|                                 |          | Bishop, M., "Privacy-Enhanced Electronic Mail," Privacy and Security research Group, IAB.  |             |
|                                 |          | Blaze, M. et al., "Decentralized Trust Management," Proc. IEEE Conference on Security and Privacy, 1996, pages 164-173.  |             |
|                                 |          | Blaze, M., "A Cryptographic File System for Unix," pre-print of paper for First ACM Conference on Computer and Communications Security, Fairfax, Virginia, Nov. 3-5, 1993, pp. 1-8.  |             |
|                                 |          | Blaze, Matt, "Key Management in an Encrypting File System," Proc. Summer '94 USENIX Tech. Conference, Boston, MA. June 1994, available at < <a href="http://www.usenix.org/publicaitons/libratry/proceedings/bos94/full_papers/blaze.asp">http://www.usenix.org/publicaitons/libratry/proceedings/bos94/full_papers/blaze.asp</a> >, pp. 1-12. |             |
|                                 |          | Blaze, Matt, et al., "The Architecture and Implementaiton of Network Layer Security Under Unix", Columbia University and AT&T Bell Laboratories, 1994.   |             |
|                                 |          | Blom, R. et al., "Encryption Methods in Data Networks," Ericsson Technics, No. 2, Stockholm, Sweden, 1978, 17 pages.   |             |
|                                 |          | Boisson, Jean-Francois, "1-Business Perspectives and Requirements, 2-The CITED Project: Keys and Knowledge," CITED 5469.   |             |
|                                 |          | Boisson, Jean-Francois, "How to CITEDise Application: Guidelines and Examples," CITED 5469.  |             |
|                                 |          | Boisson, Jean-Francois, "Management of Intellectual Property Rights in the Electronic Commerce: Textile Design Sales and Other Similar Initiatives," EURITIS.  |             |
|                                 |          | Boisson, Jean-Francois, "Software Components; Deliverable Trial Offer, " CITED 5469.   |             |

|                    |  |                 |  |
|--------------------|--|-----------------|--|
| Examiner Signature |  | Date Considered |  |
|--------------------|--|-----------------|--|

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

|   |    |    |    |                          |                  |
|---|----|----|----|--------------------------|------------------|
| IDS Form PTO/SB/08: Substitute for form 1449A/PTO   |    |    |    | <b>Complete if Known</b> |                  |
| <b>INFORMATION DISCLOSURE<br/>STATEMENT BY APPLICANT</b><br><br>(Use as many sheets as necessary) |    |    |    | Application Number       | 10/696,659       |
|   |    |    |    | Filing Date              | October 28, 2003 |
|   |    |    |    | First Named Inventor     | Karl L. GINTER   |
|   |    |    |    | Art Unit                 | 2132             |
|   |    |    |    | Examiner Name            | Justin T. DARROW |
| Sheet   | 25 | of | 61 | Attorney Docket Number   | 07451.0001-23000 |

| NON PATENT LITERATURE DOCUMENTS |          |   |             |  |
|---------------------------------|----------|---|-------------|--|
| Examiner Initials               | Cite No. | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published. | Translation |  |
|                                 |          | Boly, J.P., et al., "The ESPRIT Project CAFÉ: High Security Digital Payment Systems," ESCORICS 94, European Symposium on Research Computer Security, Springer-Verlas Berlin, 1994, pp. 217-230.   |             |  |
|                                 |          | Boone, J.V., et al., "The Start of Digital Revolution: SIGSALY Secure Digital Voice Communications in World War II," December 10, 2002.   |             |  |
|                                 |          | Borenstein, N., "MIME Extensions for Mail-Enabled Applications: Application/Safe-Tel and Multipart/Enabled-Mail," November 1993, 24 pages.  |             |  |
|                                 |          | Born, E, et al., "Discretionary Access Control by Means of Usage Conditions," Computers & Security, vol. 13, no. 5, 1994, pp. 437-450.  |             |  |
|                                 |          | Bos et al., "SmartCash: a Practical electronic payment System," Center for Mathematics and Computer Science, Report CS-R9035.   |             |  |
|                                 |          | Brands, S., "Untraceable Off-line Cash in Wallets with Observers," CWI, (undated), 17 pages.  |             |  |
|                                 |          | Brassil et al., "Electronic Marking and Identification Techniques to Discourage Document Copying," AT&T Bell Laboratories, Proc. Infocom 94, 1994.  |             |  |
|                                 |          | Breon, R., et al., "Microsoft Office 97 Executable Content Security Risks and Countermeasures," National Security Agency, December 20, 1999, pp. 1-44.  |             |  |
|                                 |          | Brickell, E.F., et al., "The SKIPJACK Algorithm," July 28, 1993, pp. 1-7.   |             |  |
|                                 |          | Brin, Sergey, et al., "Copy Detection Mechanism for Digital Documents", Stanford University.  |             |  |
|                                 |          | Brockschmidt, Kraig, "A Primer on Designing Custom Controls," Microsoft Systems Journal, March/April 1992, pp. 87-101.  |             |  |
|                                 |          | Brockschmidt, Kraig, "Implementing OLE 2.0, Part III: Uniform Data Transfer with Data Objects," Microsoft Systems Journal, December 1993, pp. 47-77.  |             |  |
|                                 |          | Brockschmidt, Kraig, "Introducing OLE 2.0, Part 1: Windows Objects and the Component Object Model," Microsoft Systems Journal, August 1993, pp. 15-23.  |             |  |
|                                 |          | Brockschmidt, Kraig, "OLE 2.0 Part II: Implementing a Simple Windows Object Using Either C or C++," Microsoft Systems Journal, October 1993, pp. 45-62.   |             |  |
|                                 |          | Brockschmidt, Kraig, Inside OLE 2, Microsoft Press Programming Series, 1994.  |             |  |
|                                 |          | Brown, C.W., "Security for Minicomputers and Microcomputers," (undated), pp. 285-298.   |             |  |
|                                 |          | Brown, Patrick W., "Digital Signatures: Can They Be Accepted as Legal Signatures in EDI?," 1st Conference on Computer and Communication Security, November 1993, pp. 86-92.   |             |  |
|                                 |          | Brumm, P., et al., 80386/80486 Assembly Language Programming, Windcrest/McGraw-Hill, 1993.  |             |  |

|                    |  |                 |  |
|--------------------|--|-----------------|--|
| Examiner Signature |  | Date Considered |  |
|--------------------|--|-----------------|--|

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

|   |    |    |                          |                        |                  |
|---|----|----|--------------------------|------------------------|------------------|
| IDS Form PTO/SB/08: Substitute for form 1449A/PTO   |    |    | <b>Complete if Known</b> |                        |                  |
| <b>INFORMATION DISCLOSURE<br/>STATEMENT BY APPLICANT</b><br><br>(Use as many sheets as necessary) |    |    | Application Number       | 10/696,659             |                  |
|   |    |    | Filing Date              | October 28, 2003       |                  |
|   |    |    | First Named Inventor     | Karl L. GINTER         |                  |
|   |    |    | Art Unit                 | 2132                   |                  |
|   |    |    | Examiner Name            | Justin T. DARROW       |                  |
| Sheet   | 26 | of | 61                       | Attorney Docket Number | 07451.0001-23000 |

| NON PATENT LITERATURE DOCUMENTS |          |   |             |
|---------------------------------|----------|---|-------------|
| Examiner Initials               | Cite No. | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published. | Translation |
|                                 |          | Bruner, R.E., "Power Agent, NetBot Help Advertisers Reach Internet Shoppers," Aug. 1997, 2 pages.   |             |
|                                 |          | Brunnstein et al., "Intellectual Property Rights and new Technologies," Proceedings of the KnowRight '95 Conference, Aug. 1995.   |             |
|                                 |          | Bureau Van Dijk, Management Report for Task 4.5: Feasibility Study of the Cited Agency, 1992-1993.  |             |
|                                 |          | Bureau Van Dijk, CITED: Preparation of the CITED Model Functional Requirements Specifications; Discussion Paper (Revision 1)," Jan. 16, 1991.   |             |
|                                 |          | Bureau Van Dijk, CITED: Preparation of the CITED Model Functional Requirements Specifications; Reports of the Interviews with Five CITED Partners," (Partners: Sagem, Telesystemes, NTE, Elsevier, Oxford University Press), Apr. 5, 1991.                      |             |
|                                 |          | Bureau Van Dijk, Gestion Des Contrats; 497C.C.C.E.: CITED (SUITE), Feb. 1993.   |             |
|                                 |          | Byte.com, "Speaking the Same Language," May 1994, pp. 1-2.  |             |
|                                 |          | Cabell, D., et al., "Software Protection," May 1985, pp. 35-37.   |             |
|                                 |          | Cable Television and America's Telecommunications Infrastructure, (National Cable Television Association, Washington, D.C.), Apr. 1993, 19 pages.   |             |
|                                 |          | Calas, C., "Distributed File System Over a Multilevel Secure Architecture Problems and Solutions," Computer Security, ESCORICS 94, Brighton, United Kingdom, November 7-9, 1994, pp. 281-297.   |             |
|                                 |          | CardTech/SecurTech 94 Conference Proceedings, "Building Foundations for Innovation," CardTech/SecurTech, Inc., April 1994, 1,031 pages.   |             |
|                                 |          | Caruso, D., "Technology, Digital Commerce: 2 Plans for Watermarks, Which Can Bind Proof of Authorship to Electronic Works," N.Y. Times, Aug. 7, 1995, p. D5.  |             |
|                                 |          | Case, J., "A Simple Network Management Protocol (SNMP)," Network Working Group, May 1990, pp. 1-21.   |             |
|                                 |          | Castano, S., et al., "Database Security," Addison-Wesley & Acm Press, 1995  |             |
|                                 |          | Central Point Anti-Virus, Central Point Software, 1993.   |             |
|                                 |          | CGI Common Gateway Interface, Document from the Internet cgi@ncsa.uiuc.edu, 1996, 1 page.   |             |
|                                 |          | Champine, G., MIT Project Athena: A Model for Distributed Campus Computing, Digital Equipment Corporation, 1991, 22 introductory pages, Chapter 1 (pp. 3-18); Chapter 2 (pp. 19-33); Chapter 3, (pp. 37-68); Chapter 4 (pp. 69-75); Chapter 5 (pp. 79-107); C   |             |
|                                 |          | Chase, Chevy, M.D., "DiscStore", Electronic Publishing Resources, 1991.   |             |

|                    |  |                 |  |
|--------------------|--|-----------------|--|
| Examiner Signature |  | Date Considered |  |
|--------------------|--|-----------------|--|

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

|   |    |    |    |                          |                  |
|---|----|----|----|--------------------------|------------------|
| <b>INFORMATION DISCLOSURE<br/>STATEMENT BY APPLICANT</b><br><br>(Use as many sheets as necessary) |    |    |    | <b>Complete if Known</b> |                  |
|   |    |    |    | Application Number       | 10/696,659       |
|   |    |    |    | Filing Date              | October 28, 2003 |
|   |    |    |    | First Named Inventor     | Karl L. GINTER   |
|   |    |    |    | Art Unit                 | 2132             |
|   |    |    |    | Examiner Name            | Justin T. DARROW |
| Sheet   | 27 | of | 61 | Attorney Docket Number   | 07451.0001-23000 |

| NON PATENT LITERATURE DOCUMENTS |          |   |             |  |
|---------------------------------|----------|---|-------------|--|
| Examiner Initials               | Cite No. | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published. | Translation |  |
|                                 |          | Chaum, D. et al. "Wallet databases with observers," Ernest F. Brickell, editor, Advances in Cryptology - CRYPTO '92, 12th Annual International Cryptology Conference, Santa Barbara, CA, August 16-20, 1992, Proceedings, pp. 89-105.                           |             |  |
|                                 |          | Chaum, David L., "Achieving Electronic Privacy," Scientific American, August 1992, 6 pages.   |             |  |
|                                 |          | Chaum, David L., "Privacy and Social Protection in Electronic Payment Systems," Chapter 12, The Future of Money in the Information Age.   |             |  |
|                                 |          | Chaum, David L., "Security Without Identification Card Computers to Make Big Brother Obsolete," Communications of the ACM, Vol. 28., No. 10, Oct. 1985, pp. 1-24.   |             |  |
|                                 |          | Chaum, David L., "Smart Card 2000," Selected Papers from the Second International Smart Card 2000 Conference, Oct. 4-6, 1989.   |             |  |
|                                 |          | Chaum, David L., "Untraceable Electronic Cash," Extended Abstract, Center for Mathematics and Computer Science, 1988, pp. 319-327.  |             |  |
|                                 |          | Chaum, David L., et al., "Implementing Capability-Based Protection Using Encryption," College of Engineering, University of California, Berkeley, July 17, 1978, 12 pages.  |             |  |
|                                 |          | Chess, D., "Security Issues in Mobile Code Systems," Mobile Agents and Security, Springer-Verlag, Giovanni Vigna, Ed., 1998, 14 pages.  |             |  |
|                                 |          | Chor et al., "Tracing Traitors," Crypto 94, 1994, page 257.   |             |  |
|                                 |          | Choudhury, A.K., et al., "Copyright Protection for Electronic Publishing Over Computer Networks," AT&T Bell Laboratories, Murray Hill, N.J., submitted to IEEE Network Magazine, June 1994, pp. 1-17.   |             |  |
|                                 |          | Choy, D.M., et al., "A Digital Library System for Periodicals Distribution", May 1996.  |             |  |
|                                 |          | Cina Jr. et al., "ABYSS: A Basic Yorktown Security System PC Software Asset Protection Concepts," IBM Research Report No. RC 12401, IBM Thomas J. Watson Research Center, Dec. 18, 1986.  |             |  |
|                                 |          | CITED: Final Report: A Guide to CITED Documentation," ESPIRIT, Project 5469, ISBN 0-7123-2115-2, The CITED Consortium, Sept. 1994.  |             |  |
|                                 |          | Clark, Paul C., et al., "BITS: A Smartcard Protected Operating System," Communications of the ACM, vol. 37, no. 11, November 1994, pp. 66-70 & 94.  |             |  |
|                                 |          | Clark, T., "Ad Service Gives Cash Back," <www.news.com/News/Item/0,4,13050,00.html> (visited Aug. 4, 1997), 2 pages.  |             |  |
|                                 |          | Clarke et al., "Cryptography Issues in Plain Text," Privacy Law and Policy Reporter, 1996.  |             |  |
|                                 |          | Coad, Peter, "Object-Oriented Patterns," Communications of the ACM, vol. 35, no. 9, September 1992, pp. 152-159.  |             |  |
|                                 |          | Codercard, Basic Coder Subsystem, Interstate Electronics Corp., Anaheim, CA, (undated), 4 pages.  |             |  |

|                    |  |                 |  |
|--------------------|--|-----------------|--|
| Examiner Signature |  | Date Considered |  |
|--------------------|--|-----------------|--|

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

|   |    |    |    |                          |                  |
|---|----|----|----|--------------------------|------------------|
| IDS Form PTO/SB/08: Substitute for form 1449A/PTO   |    |    |    | <b>Complete if Known</b> |                  |
| <b>INFORMATION DISCLOSURE<br/>STATEMENT BY APPLICANT</b><br><br>(Use as many sheets as necessary) |    |    |    | Application Number       | 10/696,659       |
|   |    |    |    | Filing Date              | October 28, 2003 |
|   |    |    |    | First Named Inventor     | Karl L. GINTER   |
|   |    |    |    | Art Unit                 | 2132             |
|   |    |    |    | Examiner Name            | Justin T. DARROW |
| Sheet   | 28 | of | 61 | Attorney Docket Number   | 07451.0001-23000 |

| NON PATENT LITERATURE DOCUMENTS |          |  |             |
|---------------------------------|----------|--|-------------|
| Examiner Initials               | Cite No. | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.                                      | Translation |
|                                 |          | Cohen, F.B., "Operating System Protection Through Program Evolution," Computers & Security, Vol. 12, No. 6, (Oxford, Great Britain) October 1993, 22 pages.  |             |
|                                 |          | Cohen, F.B., Protection and Security on the Information Superhighway, John Wiley & Sons, Inc., 1995.   |             |
|                                 |          | Communications of the ACM, Intelligent Agents," Vol. 37, No. 7, July 1994, 170 pages.  |             |
|                                 |          | Communications of the ACM, Vol. 39, No. 6, June 1996, 134 pages.   |             |
|                                 |          | Competitive Analysis AT&T/a2b music, Jun. 16, 1998.  |             |
|                                 |          | Computer Systems Policy Project (CSSP), Perspectives on the National Information Infrastructure: Ensuring Interoperability, Feb. 1994, 5 slides.   |             |
|                                 |          | Constructing a High Assurance Mail Guard, Secure Computing, 1994, pp. 1-10.  |             |
|                                 |          | Cook, S., "Net Results," PC World, December 1985, pp. 270-328.   |             |
|                                 |          | Copyright Ownership Projection in Computer-Assisted Training, COPICAT - 8195, ESPRIT, Dec. 1993.   |             |
|                                 |          | COPYSMART - 20517: "CITED Based Multi-media IPR Management on Cost Effective Smart Device," European Information Technology for Information Science, start date Dec. 1, 1995.  |             |
|                                 |          | CopySmart (CSM) suit, European Information technology for Information Science.   |             |
|                                 |          | Corbato, F.J., et al., "Introduction and Overview of the Multics System," viewed on November 13, 2001 at < <a href="http://www.multicians.org/fjcc1.html">http://www.multicians.org/fjcc1.html</a> > pp. 1-18.   |             |
|                                 |          | Cornish, Graham, "Copyright Management of Document Supply in an Electronic Age," The CITED™ Solution, Interlending & Document Supply, Vol. 21, No. 2, 1993, pp. 13-20.   |             |
|                                 |          | Cousins, Steve B. et al., "InterPay: Managing Multiple Payment Mechanisms in Digital Libraries."   |             |
|                                 |          | Coutrot, Francois, et al., "A Single FConditional Access System for Satellite-Cable and Terrestrial TV", IEEE Transactions on Consumer Electronics, Vol. 35, No. 3, Aug. 1989.   |             |
|                                 |          | Cox, B., "Superdistribution," Wired, September 1994, 2 pages.  |             |
|                                 |          | Cox, Benjamin et al., "NetBill Security and Transaction Protocol," Carnegie Mellon University.   |             |
|                                 |          | Cox, Brad, "What if there is a Silver Bullet and the competition gets it first?" Journal of Object-Oriented Programming, June 1992, available at < <a href="http://www.virtualschool.edu/cox/CoxWhatIfSilverBullet.html">http://www.virtualschool.edu/cox/CoxWhatIfSilverBullet.html</a> >, pp. 1-5. |             |
|                                 |          | CREANET - Creative Rights European Agency NETwork - Project Profile, Information Society Technologies, Feb. 18, 2000.  |             |

|                    |  |                 |  |
|--------------------|--|-----------------|--|
| Examiner Signature |  | Date Considered |  |
|--------------------|--|-----------------|--|

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

|   |    |    |                          |                        |                  |
|---|----|----|--------------------------|------------------------|------------------|
| IDS Form PTO/SB/08: Substitute for form 1449A/PTO   |    |    | <b>Complete if Known</b> |                        |                  |
| <b>INFORMATION DISCLOSURE<br/>STATEMENT BY APPLICANT</b><br><br>(Use as many sheets as necessary) |    |    | Application Number       | 10/696,659             |                  |
|   |    |    | Filing Date              | October 28, 2003       |                  |
|   |    |    | First Named Inventor     | Karl L. GINTER         |                  |
|   |    |    | Art Unit                 | 2132                   |                  |
|   |    |    | Examiner Name            | Justin T. DARROW       |                  |
| Sheet   | 29 | of | 61                       | Attorney Docket Number | 07451.0001-23000 |

| NON PATENT LITERATURE DOCUMENTS |          |   |             |  |
|---------------------------------|----------|---|-------------|--|
| Examiner Initials               | Cite No. | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published. | Translation |  |
|                                 |          | Crocker et al., "MIME Object Security Services," Network Working Group RFC 1848, Oct. 1995.   |             |  |
|                                 |          | Cryptographic API Specification, Version 0.6, Microsoft, Mar. 1995.   |             |  |
|                                 |          | Cryptolope Containers Technology: A White Paper, IBM InfoMarket Business Development Group.   |             |  |
|                                 |          | Cunningham, D. et al., "AT&T, VLSI Technology Join To Improve Info Highway Security," (News Release) Jan. 31, 1995, 3 pages.  |             |  |
|                                 |          | CUPID Protocols and Services (Version 1): "An Architectural Overview," November 1992, available at <http://www.cni.org/projects/CUPID>, 25 pages, November 20, 1997.  |             |  |
|                                 |          | Curry, D.A., "UNIX System Security: A Guide for Users and System Administrators, Addison-Wesley Publishing Company, Inc., 1992.   |             |  |
|                                 |          | Curry, David A., "Improving the Security of Your Unix System," Final Report April 1990, pp. 1-74.   |             |  |
|                                 |          | Custer, H. "Inside Windows NT," Microsoft Press, Redmond WA, 1993.  |             |  |
|                                 |          | Custer, H., Inside the Windows NT File System, Microsoft Press, 1994.   |             |  |
|                                 |          | Cybenko, G, et al., "Cognitive Hacking: A Battle for the Mind," Computer, August 2002, 0018-9162/02\$2002 IEEE, pp. 50-56.  |             |  |
|                                 |          | Data Network and Open System Communications, Directory: Information Technology - Open Systems Interconnection - The Directory: Overview of Concepts, Models, and Services," ITU-T Recommendation X.500, International Telecommunication Union, Nov. 1993.       |             |  |
|                                 |          | Data Widgets 2.0: Programmer's Guide, Sheridan Software Systems, Inc., 1993-1995.   |             |  |
|                                 |          | Date, C.J., "An Introduction to Database Systems," 4th. Ed., Vol. 1, Addison-Wesley Publishing Company, 1987.   |             |  |
|                                 |          | Davies, D. et al., Security for Computer Networks, 2nd ed., John Wiley & Sons, 1989, 22 introductory pages and pp. 1-377.   |             |  |
|                                 |          | Davin, J., et al., "SNMP Administrative Model," Network Working Group, July 1992, pp. 1-22.   |             |  |
|                                 |          | Davis, D., et al., "Network Security via Private-Key Certificates," MIT Project Athena, (undated), pp. 1-4.   |             |  |
|                                 |          | DCE Technology at Work, Distributed Computing Environment, <a href="http://www.opengroup.org/tech/dce/tech/tech.htm">http://www.opengroup.org/tech/dce/tech/tech.htm</a> , November 7, 2000, pp. 1-3.   |             |  |
|                                 |          | Deering, S.E., "Host Extensions for IP Multicasting," Network Working Group, RFC 1112, Aug. 1989.   |             |  |

|                    |  |                 |  |
|--------------------|--|-----------------|--|
| Examiner Signature |  | Date Considered |  |
|--------------------|--|-----------------|--|

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.



|  |    |    |    |                          |                  |
|--|----|----|----|--------------------------|------------------|
| IDS Form PTO/SB/08: Substitute for form 1449A/PTO  |    |    |    | <b>Complete if Known</b> |                  |
| <b>INFORMATION DISCLOSURE<br/>STATEMENT BY APPLICANT</b><br><br><i>(Use as many sheets as necessary)</i> |    |    |    | Application Number       | 10/696,659       |
|  |    |    |    | Filing Date              | October 28, 2003 |
|  |    |    |    | First Named Inventor     | Karl L. GINTER   |
|  |    |    |    | Art Unit                 | 2132             |
|  |    |    |    | Examiner Name            | Justin T. DARROW |
| Sheet  | 30 | of | 61 | Attorney Docket Number   | 07451.0001-23000 |

| NON PATENT LITERATURE DOCUMENTS |          |   |             |
|---------------------------------|----------|---|-------------|
| Examiner Initials               | Cite No. | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published. | Translation |
|                                 |          | Deliverable D3: Specification of the Infrastructure and Explanation of Trust and Confidence Building Solutions, Ver. 0.1, Telenet, Jul. 18, 2000.   |             |
|                                 |          | Dempsey L. et al., "The Warwick Metadata Workshop: A Framework for the Deployment of Resource Description," D-Lib Magazine, July 15, 1996, 8 pages.   |             |
|                                 |          | Denning, A., OLE Controls Inside Out, Microsoft Press, 1995.  |             |
|                                 |          | Denning, Dorothy E.R., "Secure Personal Computing in an Insecure Network," Communications of the ACM, August 1979, Vol. 22, No. 8, pp. 476-482.   |             |
|                                 |          | Denning, Dorothy E.R., Cryptography and Data Security, Addison-Wesley Publishing Company, 1982, Reprinted with corrections, Jan. 1983.  |             |
|                                 |          | Denning, Dorothy E.R., et al., "Data Security," 11 Computing Surveys, No. 3, Sept. 1979, pp. 227-249.   |             |
|                                 |          | Denning, P.J., Computer Under Attack: Intruders, Worms, and Viruses, ACM Press, 1990.   |             |
|                                 |          | Department of Defense Computer Security Center, "Department of Defense Password Management Guideline," Department of Defense Computer Security Center, April 12, 1985, pp. 1-34.  |             |
|                                 |          | Department of Defense Standard, "Department of Defense Trusted Computer System Evaluation Criteria," December 1985, pp. 1-72.   |             |
|                                 |          | Deutsch, P., "GZIP File Format Specification Version 4.3," Network Working Group, May 1996, pp. 12.   |             |
|                                 |          | Diffie, Whitfield, "Authentication and Authenticated Key Exchanges", Sun Microsystems and Bell-Northern Research, March 6, 1992.  |             |
|                                 |          | Diffie, Whitfield, "The First Ten Years of Public-Key Cryptography", Proceedings of the IEEE, Vol. 76, No. 5, May 1988.   |             |
|                                 |          | Diffie, Whitfield, et al., "New Directions in Cryptography," IEEE Transactions on Information Theory, Vol. 22, No. 6, Nov. 1976, pp. 644-51.  |             |
|                                 |          | Diffie, Whitfield, et al., "Privacy and Authentication: An Introduction to Cryptography," Proceedings of the IEEE, Vol. 67, No. 3, Mar. 1979, pp. 397-427.  |             |
|                                 |          | Diffie, Whitfield, et al., Privacy on the Line: The Politics of Wiretapping and Encryption, Massachusetts Institute of Technology, 1998.  |             |
|                                 |          | Digital Broadband Delivery System, Phase 1.0, System Overview, Revision 1.0, Scientific Atlanta, 1997.  |             |
|                                 |          | Digital Rights Enforcement and Management: SuperDistribution of Cryptolopes, IBM.   |             |
|                                 |          | DiLascia, Paul, "OLE Made Almost Easy: Creating Containers and Servers Using MFC 2.5," Microsoft Systems Journal, April 1994, pp. 13-33.  |             |
|                                 |          | DiscStore" (Electronic Publishing Resources, Chevy Chase, MD, 1991, 3 pages.  |             |

|                    |  |                 |  |
|--------------------|--|-----------------|--|
| Examiner Signature |  | Date Considered |  |
|--------------------|--|-----------------|--|

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

|  |    |    |    |                          |                  |
|--|----|----|----|--------------------------|------------------|
| <b>IDS Form PTO/SB/08: Substitute for form 1449A/PTO</b><br><br><b>INFORMATION DISCLOSURE<br/>STATEMENT BY APPLICANT</b><br><br><i>(Use as many sheets as necessary)</i> |    |    |    | <b>Complete if Known</b> |                  |
|  |    |    |    | Application Number       | 10/696,659       |
|  |    |    |    | Filing Date              | October 28, 2003 |
|  |    |    |    | First Named Inventor     | Karl L. GINTER   |
|  |    |    |    | Art Unit                 | 2132             |
|  |    |    |    | Examiner Name            | Justin T. DARROW |
| Sheet  | 31 | of | 61 | Attorney Docket Number   | 07451.0001-23000 |

| NON PATENT LITERATURE DOCUMENTS |             |   |                    |
|---------------------------------|-------------|---|--------------------|
| Examiner<br>Initials            | Cite<br>No. | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published. | Translation        |
|                                 |             | DOD "Rainbow Series.  |                    |
|                                 |             | Doster et al., "Third-Party Authentication in the Institutional File System," Center for Information Technology Integration.  |                    |
|                                 |             | Dougherty, D., et al., The Mosaic Handbook for the X Window System, O' Reilly & Associates, 1994.   |                    |
|                                 |             | Downs, D.D., et al., "Issues in Discretionary Access Control," Proceedings of the 1985 Symposium on Security and Privacy, April 22-24, 1985, Oakland, California, pp. 208-218.  |                    |
|                                 |             | DSP56000/DSP56001 Digital Signal Processor User's Manual, (Motorola), 1990, p. 2-2.   |                    |
|                                 |             | Dukach, S., "SNPP: A Simple Network Payment Protocol," MIT Laboratory for Computer Science, (undated), 7 pages.   |                    |
|                                 |             | Dusse, S.R. et al., "A Cryptographic Library for the Motorola 56000," Advances in Cryptology-Proceedings of Eurocrypt 90 (I.M. Damgard, ed., Springer-Verlag), 1991, pp. 230-44.  |                    |
|                                 |             | Dyson, E., "Intellectual Value," WIRED Magazine, July 1995, pp. 136-41 and 182-84.  |                    |
|                                 |             | Eastlake III, D., "Physical Link Security Type of Service," Network Working Group RFC 1455, May, 1993.  |                    |
|                                 |             | Eastlake III, D., et al., "Randomness Recommendations for Security," Network Working Group RFC 1750, Dec. 1994.   |                    |
|                                 |             | EFT Network Data Book; 1993 Edition, Bank Network News, Vol. 11, No. 13, Nov. 1992.   |                    |
|                                 |             | EIA and TIA White Paper on National Information Infrastructure, The Electronic Industries Association and the Telecommunications Industry Association, Washington, D.C., (undated), 27 pages.   |                    |
|                                 |             | Eizenberg, G., "Contribution of Information Technology Security to Intellectual Property Protection," CERT-DERI.  |                    |
|                                 |             | Electronic Currency Requirements, XIWT (Cross Industry Working Group), (undated), 16 pages.   |                    |
|                                 |             | Electronic Reverse Copyright Management System (ERCOMS), International Institute for Electronic Library Research, website updated by Ramsden, Anne, Jul. 22, 1996.  |                    |
|                                 |             | Ellison, C. et al., "SPKI Certificate Theory," Internet Engineering Task Force (IETF) RFC 2693, Sept. 1999, 38 pages, available at <a href="http://www.ietf.org/rfc/rfc26939.txt?number=2693">http://www.ietf.org/rfc/rfc26939.txt?number=2693</a>              |                    |
|                                 |             | E-mail from Caglar Gunyakti entitled: "Private Test Needed," April 28, 2001, 1 page.  |                    |
|                                 |             | Email from Chris Drost-Hansen re press release: "AT&T Launches A2B Music Trial for Delivering Songs Over the Internet," Business Wire, Nov. 3, 1997.  |                    |
| Examiner<br>Signature           |             |   | Date<br>Considered |

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

|  |    |    |                          |                  |  |
|--|----|----|--------------------------|------------------|--|
| IDS Form PTO/SB/08: Substitute for form 1449A/PTO  |    |    | <b>Complete if Known</b> |                  |  |
| <b>INFORMATION DISCLOSURE<br/>STATEMENT BY APPLICANT</b><br><br><i>(Use as many sheets as necessary)</i> |    |    | Application Number       | 10/696,659       |  |
|  |    |    | Filing Date              | October 28, 2003 |  |
|  |    |    | First Named Inventor     | Karl L. GINTER   |  |
|  |    |    | Art Unit                 | 2132             |  |
|  |    |    | Examiner Name            | Justin T. DARROW |  |
|  |    |    | Attorney Docket Number   | 07451.0001-23000 |  |
| Sheet  | 32 | of | 61                       |                  |  |

| NON PATENT LITERATURE DOCUMENTS |          |   |             |  |
|---------------------------------|----------|---|-------------|--|
| Examiner Initials               | Cite No. | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published. | Translation |  |
|                                 |          | Email from Edmond Kouka to Jean-Francois Boisson re TELENET TELEtraining platform - Bogdan Lutkiewicz, Poland, Gdansk, Mar. 4, 2001.  |             |  |
|                                 |          | Enterprise Solutions Announces RSA Mail, RSA Security News, viewed at < <a href="http://rsasecurity.com/news/pr/940112-2.html">http://rsasecurity.com/news/pr/940112-2.html</a> >, dated January 12, 1994, pp.1-2.  |             |  |
|                                 |          | Epstein, J., "A Trusted X Window System Server for Trusted Mach," Usenix Association Proceedings, Mach Workshop, October 4-5, 1990, Burlington, Vermont, pp. 141-155.   |             |  |
|                                 |          | Erickson, John S., "A Copyright Management System for Networked Interactive Multimedia", Proceedings of the 1995 Dartmouth Institute for Advanced Graduate Studies, 1995.   |             |  |
|                                 |          | Erickson, John S., "Rights Management Through Enhanced Attribution", Presented at INET 96 Proceedings, June 1996.   |             |  |
|                                 |          | ESPRIT Project 20517 - COPYSMART CITED based multi-media IPR management on cost effective smart device, Summaries of Projects (FP III/IV) - Part I, European Information technology for Information Science, Oct. 1998.   |             |  |
|                                 |          | ESPRIT Project 20676 - IMPRIMATUR - Intellectual Multimedia Property Rights Model and Terminology for Universal Reference," IMPRIMATUR Consortium, Oct. 1998.   |             |  |
|                                 |          | ESPRIT Project 22226 - MUSE - Developing Standardized Digital media Management, Signaling and encryption Systems for the European Music Sector," International Federation of the Phonographic Industry, Oct. 1998.  |             |  |
|                                 |          | ESPRIT Project 24378 - MENHIR European Multimedia Network of High Quality Image Registration," Museums On Line, Feb. 1, 1997.   |             |  |
|                                 |          | ESPRIT Project: 5469: Contract Amendment Number 2; Commission of the European Communities, Sep. 16, 1993.   |             |  |
|                                 |          | Europe and The Global Information Society Recommendations to the European Council, Bangemann Report, <a href="http://www.medicif.org">www.medicif.org</a> web pages, Global Information Society, May 1994.  |             |  |
|                                 |          | Everett, David B., "Smart Card Tutorial-Part 1," Sep. 1992.   |             |  |
|                                 |          | Farmer, D., "The COPS Security Checker System," July 10, 1992.  |             |  |
|                                 |          | Federal Criteria for Information Technology Security," Vol. II, Version 1.0, National Institute of Standards and Technology and National Security Agency, December 1992, 270 pages.   |             |  |
|                                 |          | Feistel, H. "Cryptographic Coding for Data-Bank Privacy," IBM document RC 2827, Mar. 18, 1970.  |             |  |
|                                 |          | Ferraiolo, D., et al., "Role-Based Access Control," Reprinted from the Proceedings of the 15th National Computer Security Conference, 1992, pp. 1-11.   |             |  |

|                    |  |                 |  |
|--------------------|--|-----------------|--|
| Examiner Signature |  | Date Considered |  |
|--------------------|--|-----------------|--|

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

|   |    |    |    |                          |                  |
|---|----|----|----|--------------------------|------------------|
| <b>INFORMATION DISCLOSURE<br/>STATEMENT BY APPLICANT</b><br><br>(Use as many sheets as necessary) |    |    |    | <b>Complete if Known</b> |                  |
|   |    |    |    | Application Number       | 10/696,659       |
|   |    |    |    | Filing Date              | October 28, 2003 |
|   |    |    |    | First Named Inventor     | Karl L. GINTER   |
|   |    |    |    | Art Unit                 | 2132             |
|   |    |    |    | Examiner Name            | Justin T. DARROW |
| Sheet   | 33 | of | 61 | Attorney Docket Number   | 07451.0001-23000 |

| NON PATENT LITERATURE DOCUMENTS |          |   |             |  |
|---------------------------------|----------|---|-------------|--|
| Examiner Initials               | Cite No. | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published. | Translation |  |
|                                 |          | Financial Transaction Card Originated Messages - Interchange Message Specifications - Part 2: Application and registration Procedures for Institution Identification Codes (IIC), ISO 8583-2, Jul. 1, 1998.   |             |  |
|                                 |          | Financial Transaction Card Originated Messages - Interchange Message Specifications - Part 3: Maintenance Procedures for Codes, ISO 8583-3, Jul. 1, 1998.   |             |  |
|                                 |          | Fine, T., et al, "Assuring Distributed Trusted Mach," Secure Computing Corporation, 1993, 13 pages.   |             |  |
|                                 |          | Finin et al., "A Language and Protocol to Support Intelligent Agent Interoperability," Proceedings of the CE & CALS, Washington '92 Conference, Apr. 1992.  |             |  |
|                                 |          | First CII Honeywell Bull International Symposium on Computer Security and Confidentiality, Conference Text, Jan. 26-28, 1981, 21 pages.   |             |  |
|                                 |          | Forcht, K.A., Computer Security Management, Boyd & Fraser Publishing Company, 1994.   |             |  |
|                                 |          | Forum on Risks to the Public in Computers and Related Systems, The Risks Digest, Vol. 15; Issue 39, January 21, 1994, pp. 1-12.   |             |  |
|                                 |          | Forum on Technology-Based Intellectual Property Management - Electronic Commerce for Content, IMA Intellectual Property Proceedings, Vol. 2, June 1996.   |             |  |
|                                 |          | Framework for National information Infrastructure Services, Draft, U.S. Department of Commerce, July 1994, 157 pages.   |             |  |
|                                 |          | Framework for National Information Infrastructure Services, NIST, July 1994, 12 Slides.   |             |  |
|                                 |          | Franklin, M., et al., "An Overview of Secure Distribution Computing," March 24, 1992, pp. 1-46.   |             |  |
|                                 |          | Franz, M., "Technological Steps Toward a Software Component Industry," Institut fur Computersysteme, Zurich, Switzerland, (undated), 23 pages.  |             |  |
|                                 |          | Frederick, Keith P., "Certification and Accreditation Approach", Air Force Cryptologic Support Center (OL-FP).  |             |  |
|                                 |          | FreeBSD System Manager's Manual "LDCONFIG", Oct. 3, 1993.   |             |  |
|                                 |          | Fuchsberger et al., "Public-key Cryptography on Smart Cards," Information Security Group.   |             |  |
|                                 |          | Fugini, M.G., et al., "Authorization and Access Control in the Office-Net System," Computer Security in the Age of Information, 1989, pp. 147-162.  |             |  |
|                                 |          | Fugini, M.G., et al., "Security Management in Office Information Systems," Computer Security: A Global Challenge, 1984, pp. 487-498.  |             |  |
|                                 |          | Galvin, J., et al., "Security Protocols for version 2 of the Simple Network Management Protocol (SNMPv2)," Network Working Group RFC 1446, Apr. 1993.   |             |  |

|                    |  |                 |  |
|--------------------|--|-----------------|--|
| Examiner Signature |  | Date Considered |  |
|--------------------|--|-----------------|--|

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

|   |    |    |    |                          |                  |
|---|----|----|----|--------------------------|------------------|
| <b>INFORMATION DISCLOSURE<br/>STATEMENT BY APPLICANT</b><br><br>(Use as many sheets as necessary) |    |    |    | <b>Complete if Known</b> |                  |
|   |    |    |    | Application Number       | 10/696,659       |
|   |    |    |    | Filing Date              | October 28, 2003 |
|   |    |    |    | First Named Inventor     | Karl L. GINTER   |
|   |    |    |    | Art Unit                 | 2132             |
|   |    |    |    | Examiner Name            | Justin T. DARROW |
| Sheet   | 34 | of | 61 | Attorney Docket Number   | 07451.0001-23000 |

| NON PATENT LITERATURE DOCUMENTS |          |   |             |  |
|---------------------------------|----------|---|-------------|--|
| Examiner Initials               | Cite No. | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published. | Translation |  |
|                                 |          | Galvin, J., et al., "SNMP Security Protocols," Network Working Group, July 1992, pp. 1-26.  |             |  |
|                                 |          | Gamble, Todd, "Implementing Execution Controls in Unix," Usenix Association, Proceedings of the Seventh Systems Administration Conference, November 1-5, 1993, Monterey, California, pp. 237-242.   |             |  |
|                                 |          | Garcia, D.L., "Science, Space and Technology, Hearing before Subcommittee on Technology, Environment, and Aviation," May 26, 1994, pp. 97-108.  |             |  |
|                                 |          | Garfinkel, Simson, et al., Practical UNIX Security, O' Reilly & Associates, Inc., 1991.   |             |  |
|                                 |          | Garfinkel, Simson, PGP: Pretty Good Privacy, O' Reilly & Associates, Inc., (undated).   |             |  |
|                                 |          | Gasser, M., et al., "The Digital Distributed System Security Architecture," Reprint from the Proceedings of 1989 National Computer Security Conference, 1989, pp. 1-13.   |             |  |
|                                 |          | Gaster, J. L., "Authors' Rights and Neighboring Rights in the Information Society," DG XV/E/4, European Commission.   |             |  |
|                                 |          | Gemplus, MCOS: Multi Application Chip Operating System - Introduction, Gemplus Card International, 1990.  |             |  |
|                                 |          | General Magic Picks RSA, RSA Security News, viewed at < <a href="http://rsasecurity.com/news/pr/940112-3.html">http://rsasecurity.com/news/pr/940112-3.html</a> >, dated January 12, 1994, pp. 1-2.   |             |  |
|                                 |          | Gifford, D.K., "Cryptographic Sealing for Information Secrecy and Authentication," Communications of the ACM, vol. 25, no. 4, April 1982, pp. 274-286.  |             |  |
|                                 |          | Gifford, D.K., et al., "The Cirrus Banking Network," Communications of the ACM, vol. 28, no. 4, August 1985, pp. 798-807.   |             |  |
|                                 |          | Gilde, R., "DAT-Heads: Frequently Asked Questions," 1991, Release 3.1, Sep. 2, 1992.  |             |  |
|                                 |          | Gircys, G.R., Understanding and Using COFF, O'Reilly & Associates, Inc., Nov. 1988.   |             |  |
|                                 |          | Glatzer, H., "The Promise of LANs MIS Back in Control," Software News, March 1985, pp. 51-58.   |             |  |
|                                 |          | Gleick, J., "Dead as a Dollar," The New York Times Magazine, June 16, 1996, Sect. 6, pp. 26-30, 35, 42, 50, 54.   |             |  |
|                                 |          | Gligor, V.D., et al., "Object Migration and Authentication," IEEE Transactions on Software Engineering, vol. SE-5, no. 6, November 1979, pp. 607-611.   |             |  |
|                                 |          | Gong, Li, "A Secure Identity-Based Capability System," University of Cambridge Computer Laboratory, January 1989, pp. 1-15.   |             |  |
|                                 |          | Gong, Li, et al., "Signing, Sealing and Guarding Java Objects," Mobile Agents and Security, G. Vigna, editor, Springer-Verlag, 1998, Vol. 1419 of LNCS, pp. 206-216.  |             |  |
|                                 |          | Gosler, James, "Software Protection: Myth or Reality", Lecture Notes in Computer Science, Advances in Cryptology - Crypto '85 Proceedings, 1985.  |             |  |

|                    |  |                 |  |
|--------------------|--|-----------------|--|
| Examiner Signature |  | Date Considered |  |
|--------------------|--|-----------------|--|

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

|   |    |    |    |                          |                  |
|---|----|----|----|--------------------------|------------------|
| IDS Form PTO/SB/08: Substitute for form 1449A/PTO<br><br><b>INFORMATION DISCLOSURE<br/>STATEMENT BY APPLICANT</b><br><br><i>(Use as many sheets as necessary)</i> |    |    |    | <b>Complete if Known</b> |                  |
|   |    |    |    | Application Number       | 10/696,659       |
|   |    |    |    | Filing Date              | October 28, 2003 |
|   |    |    |    | First Named Inventor     | Karl L. GINTER   |
|   |    |    |    | Art Unit                 | 2132             |
|   |    |    |    | Examiner Name            | Justin T. DARROW |
| Sheet   | 35 | of | 61 | Attorney Docket Number   | 07451.0001-23000 |

| NON PATENT LITERATURE DOCUMENTS |          |   |             |
|---------------------------------|----------|---|-------------|
| Examiner Initials               | Cite No. | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published. | Translation |
|                                 |          | Gosling, J., "Oak Intermediate Bytecodes," 1995, 5 pages.   |             |
|                                 |          | Gozani et al., "GAFFES: The Design of a Globally Distributed File System," Report No. UCB/CSD 87/361; Computer Science Division (EECS), U.C. Berkley, Jun. 1997.  |             |
|                                 |          | Greenwald et al., "The Distributed Compartment Model for resource management and Access Control," Technical report Number TR94-035, The University of Florida, Oct. 1994.   |             |
|                                 |          | Greguras, F., "Softic Symposium '95, Copyright Clearances and Moral Rights," Dec. 11, 1995, 3 pages.  |             |
|                                 |          | Griswold, Gary N., "A Method for Protecting Copyright on Networks", IMA Intellectual Property Proceedings, Vol. 1, Issue 1, January 1994.   |             |
|                                 |          | Gruber, R., et al., "Disconnected Operation in the Thor Object-Oriented Database System," Laboratory of Computer Science, Massachusetts Institute of Technology, (undated), pp. 1-6.  |             |
|                                 |          | Guide to the Secure Configuration and Administration of Microsoft Exchange 5.x®, National Security Agency, June 20, 2002, pp. 1-58.   |             |
|                                 |          | Guillou, L.C., "Smart Cards and Conditional Access," Advances in Cryptography - Proceedings of EuroCrypt 84 (T. Beth et al, Ed., Springer-Verlag), 1985, pp. 480-90.  |             |
|                                 |          | Haar, S.V., Document from the Internet: "PowerAgent Launches Commercial Service," Interactive Week, Aug. 4, 1997, 1 page.   |             |
|                                 |          | Halfhill, Tom R., et al., "Agents on the Loose," Byte.com, February 1994, pp. 1-2.  |             |
|                                 |          | Halfhill, Tom R., et al., "Just Like Magic?," Byte.com, February 12, 1994, pp. 1-5.   |             |
|                                 |          | Haller, N., "The S/KEY One-Time Password System," Network Working Group RFC 1760, Feb. 1995.  |             |
|                                 |          | Handwritten note re: GVS and AJL, Mar. 2, 1994.   |             |
|                                 |          | Hansen, S.E., et al., "Automated System Monitoring and Notification with Swatch," Proceedings of the 1993 LISA, Monterey, California, November 1-5, 1993, pp. 101-108.  |             |
|                                 |          | Hardjono, Thomas, "Record Encryption in Distributed Databases," Department of Computer Science, University of New South Wales, January 1990, pp. 386-395.   |             |
|                                 |          | Hardy, N., "The Keykos Architecture," Eighth Edition, December 1990, pp. 1-8.   |             |
|                                 |          | Harman, H., Modern Factor Analysis, Third Edition Revised, University of Chicago Press, Chicago and London, 1976.   |             |
|                                 |          | Harn, Lein, et al., "A Software Authentication System for the Prevention of Computer Viruses," ACM, 1992, pp. 447-450   |             |
|                                 |          | Harris, J., et al., "Bento Specification," Apple Computer, Inc., July 15, 1993, 106 pages.  |             |

|                    |  |                 |  |
|--------------------|--|-----------------|--|
| Examiner Signature |  | Date Considered |  |
|--------------------|--|-----------------|--|

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

|  |    |    |    |                          |                  |
|--|----|----|----|--------------------------|------------------|
| IDS Form PTO/SB/08: Substitute for form 1449A/PTO  |    |    |    | <b>Complete if Known</b> |                  |
| <b>INFORMATION DISCLOSURE<br/>STATEMENT BY APPLICANT</b><br><br><i>(Use as many sheets as necessary)</i> |    |    |    | Application Number       | 10/696,659       |
|  |    |    |    | Filing Date              | October 28, 2003 |
|  |    |    |    | First Named Inventor     | Karl L. GINTER   |
|  |    |    |    | Art Unit                 | 2132             |
|  |    |    |    | Examiner Name            | Justin T. DARROW |
| Sheet  | 36 | of | 61 | Attorney Docket Number   | 07451.0001-23000 |

| NON PATENT LITERATURE DOCUMENTS |          |   |  |             |
|---------------------------------|----------|---|--|-------------|
| Examiner Initials               | Cite No. | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.                         |  | Translation |
|                                 |          | Harty, K., et al., "Case Study: The VISA Transaction Processing System," May 30, 1988, pp. 1-23.  |  |             |
|                                 |          | Hauser, Ralf C., et al., "LTTP Portection -- A Pragmatic Approach to Licenseing", Institut fur Informatik, Universitat Zurich, Jan. 13, 1994.   |  |             |
|                                 |          | Hauser, Ralf, "Control Information Distribution and Access," Dissertation Der Wirtschaftswissenschaftlichen Fakultat Der Universitat Zurich, May 31, 1995.  |  |             |
|                                 |          | Hauser, Ralf, C., "Does Licensing Require New Access Control Techniques?," Institut fur Informatik, Universitat Zurich, August 12, 1993, 9 pages.   |  |             |
|                                 |          | Hawk, H.S., "RSA & General Magic," email to Good Guys, January 6, 1994, 1 page.   |  |             |
|                                 |          | Hearst, M.A., "Interfaces for Searching the Web," Scientific American, March 1997, pp. 68-72.   |  |             |
|                                 |          | Herzberg, A. et al., "Public Protection of Software," ACM Transactions on Computer Systems, Vol. 5, No. 4, Nov. 1987, pp. 371-393.  |  |             |
|                                 |          | Herzberg, Amir, et al., "On Software Protection", Proceedings of the 4th Jerusalem Conference on Information Technology (JCIT), IEE Computer Society Proes., April 1984.  |  |             |
|                                 |          | Hewlett-Packard Chooses RSA, RSA Security News, viewed at < <a href="http://rsasecurity.com/news/pr/940112-5.html">http://rsasecurity.com/news/pr/940112-5.html</a> >, dated January 12, 1994, pp. 1-2.   |  |             |
|                                 |          | Hickman, Kipp, E.B., SSL 2.0 Protocol Specificatoin.  |  |             |
|                                 |          | Hilgraeve Ships Secure Version of HyperACCESS/5, RSA Security News, viewed at < <a href="http://rsasecurity.com/news/pr/940112-8.html">http://rsasecurity.com/news/pr/940112-8.html</a> >, dated January 12, 1994, pp. 1-2.   |  |             |
|                                 |          | Hill, William et al., "Edit Wear and Read Wear," Computer Graphics and Interactive Media Research Group, ACM; May 3-7, 1992.  |  |             |
|                                 |          | Hill, William et al., "History-Enriched Digital Objects," Computer Graphics and Interactive Media Research Group; Bell Communications Research, 1993.   |  |             |
|                                 |          | History of Computer Security: Early Computer Security Papers, Part 1, National Institute of Standards and Technology, September 4, 2002, viewed at < <a href="http://csrc.nist.gov/publications/history/index.html">http://csrc.nist.gov/publications/history/index.html</a> > pp. 1-27 |  |             |
|                                 |          | Hoffman, L.J., Modern Methods for Computer Security and Privacy, Prentice-Hall, Inc., 1977.   |  |             |
|                                 |          | Hofmann, L.J., "Interfacing the Nil to User Homes," Consumer Electronic Bus. Committee, NIST, July 1994, 14 slides.   |  |             |
|                                 |          | Hohl, F., "Time Limited Blackbox Security: Protecting Mobile Agents from Malicious Hosts," Lecture Notes in Computer Science, Vol. 1419: Mobile Agents and Security, Springer-Verlag, 1998, G. Vigna Ed., pp. 90-111.   |  |             |
|                                 |          | Holsinger, E., How Music and Computers Work, Ziff-Davis Press, 1994.  |  |             |

|                    |  |                 |  |
|--------------------|--|-----------------|--|
| Examiner Signature |  | Date Considered |  |
|--------------------|--|-----------------|--|

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

|   |    |    |    |                          |                  |
|---|----|----|----|--------------------------|------------------|
| IDS Form PTO/SB/08: Substitute for form 1449A/PTO   |    |    |    | <b>Complete if Known</b> |                  |
| <b>INFORMATION DISCLOSURE<br/>STATEMENT BY APPLICANT</b><br><br>(Use as many sheets as necessary) |    |    |    | Application Number       | 10/696,659       |
|   |    |    |    | Filing Date              | October 28, 2003 |
|   |    |    |    | First Named Inventor     | Karl L. GINTER   |
|   |    |    |    | Art Unit                 | 2132             |
|   |    |    |    | Examiner Name            | Justin T. DARROW |
| Sheet   | 37 | of | 61 | Attorney Docket Number   | 07451.0001-23000 |

| NON PATENT LITERATURE DOCUMENTS |          |  |             |
|---------------------------------|----------|--|-------------|
| Examiner Initials               | Cite No. | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.  | Translation |
|                                 |          | Holt, S., "Start-Up Promises User Confidentiality in Web Marketing Service," InfoWorld Electric News, updated Aug. 13, 1997, 2 pages.  |             |
|                                 |          | Holzner, S., Heavy Metal OLE 2.0 Programming, IDG Books Worldwide, Inc., 1994.   |             |
|                                 |          | Honeyman, P., "Digest of the First UNSENIX Workshop on Electronic Commerce (EC 95)," July 1995.  |             |
|                                 |          | Horster, P., Communications and Multimedia Security II, Chapman & Hall, 1996.  |             |
|                                 |          | HotJavaTM: The Security Story, (undated) 4 pages.  |             |
|                                 |          | How Can I Put an Access Counter on My Home Page?, World Wide Web FAQ, 1996, 1 page.  |             |
|                                 |          | Hsiao, D., et al., Computer Security, Academic Press, Inc., 1979.  |             |
|                                 |          | Hutt, A.E., et al., Computer Security Handbook Second Edition, Macmillan Publishing Company, 1988, pp. 201-217.  |             |
|                                 |          | IBM Cryptolope Technology-Executive Summary, IBM, viewed on March 13, 2002 at < <a href="http://www-3.ibm.com/software/security/cryptolope.about.html">http://www-3.ibm.com/software/security/cryptolope.about.html</a> > pp. 1-3.                               |             |
|                                 |          | Identification Cards-Financial Transaction Cards, ISO 7813, 1987.  |             |
|                                 |          | IISP Break Out Session Report for Group Number 3, Standards Development and Tracking System, (undated), 13 pages.  |             |
|                                 |          | Imprimatur News, imprimatur, Dec. 1998.  |             |
|                                 |          | Information Infrastructure Standards Panel: NII "The Information Superhighway," NationsBank - HGDeal - ASC X9, (undated), 15 pages.  |             |
|                                 |          | Intellectual Property and the National Information Infrastructure, a Preliminary Draft of the Report of the Working Group on Intellectual Property Rights, Green paper, July 1994, 141 pages.  |             |
|                                 |          | Interchange Message Specification for Debit and Credit Card Message Exchange Among Financial Institutions," American National Standard, Accredited Standards Committee X9-Financial Services Committee, ANSI X9.2-1988, American Bankers Association, May 16, 11 |             |
|                                 |          | International Infrastructure Standards Panel, "IISP Need #31-Containers or Secure Packaging," Electronic Publishing Research, September 18, 1995, pp. 1-3.   |             |
|                                 |          | International Infrastructure Standards Panel, "IISP Need #32-Authentication of Content," Electronic Publishing Research, September 18, 1995, pp. 1-3.  |             |
|                                 |          | International Infrastructure Standards Panel, "IISP Need #33-Control Enforcement," Electronic Publishing Research, September 18, 1995, pp. 1-3.  |             |
|                                 |          | International Infrastructure Standards Panel, "IISP Need #34-Billing and Payment," Electronic Publishing Research, September 18, 1995, pp. 1-3.  |             |

|                    |  |                 |  |
|--------------------|--|-----------------|--|
| Examiner Signature |  | Date Considered |  |
|--------------------|--|-----------------|--|

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.



|   |    |    |                          |                  |  |
|---|----|----|--------------------------|------------------|--|
| IDS Form PTO/SB/08: Substitute for form 1449A/PTO   |    |    | <b>Complete if Known</b> |                  |  |
| <b>INFORMATION DISCLOSURE<br/>STATEMENT BY APPLICANT</b><br><br>(Use as many sheets as necessary) |    |    | Application Number       | 10/696,659       |  |
|   |    |    | Filing Date              | October 28, 2003 |  |
|   |    |    | First Named Inventor     | Karl L. GINTER   |  |
|   |    |    | Art Unit                 | 2132             |  |
|   |    |    | Examiner Name            | Justin T. DARROW |  |
|   |    |    | Attorney Docket Number   | 07451.0001-23000 |  |
| Sheet   | 38 | of | 61                       |                  |  |

| NON PATENT LITERATURE DOCUMENTS |          |   |             |  |
|---------------------------------|----------|---|-------------|--|
| Examiner Initials               | Cite No. | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published. | Translation |  |
|                                 |          | International Infrastructure Standards Panel, "IISP Need #35-Reporting," Electronic Publishing Research, September 18, 1995, pp. 1-3.   |             |  |
|                                 |          | International Standard ISO8583, "Bank Card Originated Messages - Interchange Message Specifications - Content for Financial Transactions," International Organization for Standardization, August 15, 1987, pp. 1-33.   |             |  |
|                                 |          | Internet Billing Server, Carnegie Mellon University, Prototype Scope Document, INI Tech Report, October 14, 1993, pp. 1-29.   |             |  |
|                                 |          | Introducing . . . The Workflow CD-ROM Sampler, Creative Networks, MCI Mail: Creative Networks, Inc., (undated), 2 pages.  |             |  |
|                                 |          | Introduction to Smart Cards v. 1.0", Gemplus Card International, March 21, 1991.  |             |  |
|                                 |          | Invoice? What's an Invoice?, Business week, June 10, 1996, pp. 110-112.   |             |  |
|                                 |          | Ioannidis, J. et al., "The Architecture and Implementation of Network-Layer Security Under Unix," Fourth USENIX Security Symposium Proceedings (Oct.), USENIX, Berkeley, Calif. 1993, 11 pages.   |             |  |
|                                 |          | iOpener, Registered Trademark of National Semiconductor Corporation, Registration date October 4, 1994, 1 page.   |             |  |
|                                 |          | iOpener, U.S. Patent and Trademark Prosecution History for National Semiconductor Corporation, Registration date, October 4, 1994, 27 pages, TULIP Final Report.  |             |  |
|                                 |          | iPower Technology, National Semiconductor, (undated), 11 pages.   |             |  |
|                                 |          | iPower's Data Security Approach, RSA Security News, viewed at < <a href="http://rsasecurity.com/news/pr/940112-10.html">http://rsasecurity.com/news/pr/940112-10.html</a> >, dated January 12, 1994.  |             |  |
|                                 |          | Is Advertising Really Dead?, Wired 2.02, Part 2, 1994, 4 pages.   |             |  |
|                                 |          | Jaeger, T, et al., "Support for the File System Security Requirements of Computational E-Mail Systems," November 1994, ACM 0-89791-732-4/94/0011, 9 pages.  |             |  |
|                                 |          | JAVASOFT, Frequently Asked Questions-Applet Security, June 7, 1996, 7 pages.  |             |  |
|                                 |          | Jiang, J.J. et al., "A Concept-based Approach to Retrieval from an Electronic Industrial Directory," International Journal of Electronic Commerce, Vol. 1, No. 1 (Fall 1996) pp. 51-72.   |             |  |
|                                 |          | Johnson, H.L., et al., "A Secure Distributed Capability Based System," ACM, 1985, pp. 392-402.  |             |  |
|                                 |          | Johnson, R., "Info on Telescript," 1994 Software Agents List Archive, December 6, 1994, pp. 1-4.  |             |  |
|                                 |          | Jones et al., "Credentials for Privacy and Interoperation," University of Illinois at Urbana-Champaign.   |             |  |

|                    |  |                 |  |
|--------------------|--|-----------------|--|
| Examiner Signature |  | Date Considered |  |
|--------------------|--|-----------------|--|

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

|  |    |    |    |                          |                  |
|--|----|----|----|--------------------------|------------------|
| IDS Form PTO/SB/08: Substitute for form 1449A/PTO  |    |    |    | <b>Complete if Known</b> |                  |
| <b>INFORMATION DISCLOSURE<br/>STATEMENT BY APPLICANT</b><br><br><i>(Use as many sheets as necessary)</i> |    |    |    | Application Number       | 10/696,659       |
|  |    |    |    | Filing Date              | October 28, 2003 |
|  |    |    |    | First Named Inventor     | Karl L. GINTER   |
|  |    |    |    | Art Unit                 | 2132             |
|  |    |    |    | Examiner Name            | Justin T. DARROW |
| Sheet  | 39 | of | 61 | Attorney Docket Number   | 07451.0001-23000 |

| NON PATENT LITERATURE DOCUMENTS |          |  |  |             |
|---------------------------------|----------|--|--|-------------|
| Examiner Initials               | Cite No. | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.                              |  | Translation |
|                                 |          | Jones, D., Document from the Internet: "Top Tech Stories, PowerAgent Introduces First Internet 'Informediary' to Empower and Protect Consumers," (updated Aug. 13, 1997) 3 pages.  |  |             |
|                                 |          | JUKEBOX - Music Across Borders," LIB-JUKEBOX/4-1049.   |  |             |
|                                 |          | Kahn, D., The Codebreakers: The Story of Secret Writing, The Macmillan Company, 1967.  |  |             |
|                                 |          | Kahn, R., et al., "A Framework for Distributed Digital Object Services, Corporation for National Research Initiatives, May 13, 1995.   |  |             |
|                                 |          | Kaliski, Jr., et al. "A Layman's Guide to a Subset of ASN.1, BER, and DER", RSA Laboratories Technical Note, 1991, Revised November 1, 1993.   |  |             |
|                                 |          | Kamens, J.I., "Retrofitting Network Security to Third-Party Applications-The SecureBase Experience," Symposium Proceedings, Unix Security IV, October 4-6, 1993, Santa Clara, California, pp. 41-57.   |  |             |
|                                 |          | Kaner, Cem et al., Testing Computer Software, Second Edition, Van Nostrand Reinhold, 1988.   |  |             |
|                                 |          | Kaplan, M., "IBM Cryptolopes, Super Distribution and Digital Rights Management," viewed at < <a href="http://www.research.ibm.com/people/k/kaplan/cryptolope-docs/crypap.html">http://www.research.ibm.com/people/k/kaplan/cryptolope-docs/crypap.html</a> > on December 30, 1996, pp. 1-10. |  |             |
|                                 |          | Karger, P.A., et al., "A VMM Security Kernel for the VAX Architecture," CH2884-5/90/0000/0002, IEEE 1990, pp. 2-19.  |  |             |
|                                 |          | Karger, P.A., et al., "Multics Security Evaluation: Vulnerability Analysis," HQ Electronic Systems Division, Hanscom AFB, Technical Report 19, June 1974, 14 pages.  |  |             |
|                                 |          | Kastenholz, F., "The Definitions of Managed Objects for the Security Protocols of the Point-to-Point Protocol," Network Working Group RFC 1472, Jun. 1993.   |  |             |
|                                 |          | Katzen, Harry, Jr., Computer Data Security, Litton Educational Publishing Company, 1973.   |  |             |
|                                 |          | Keefe, T.F., et al., "Prototyping the SODA Security Model," Department of Computer Science, University of Minnesota, 1990, pp. 211-235.  |  |             |
|                                 |          | Kelly, K., "E-Money," Whole earth Review, Summer 1993, pp. 40-59.  |  |             |
|                                 |          | Kelman, Alistair, "Electronic Copyright Management: Possibilities and Problems", Scientists for Labor Presentation, Nov. 14, 1996.   |  |             |
|                                 |          | Kelter, U., "Discretionary Access Controls in a High-Performance Object Management System," 1991 IEEE Computer Society Symposium on Research in Security and Privacy, May 20-22, 1991, Oakland, California, pp. 288-299.   |  |             |

|                    |  |                 |  |
|--------------------|--|-----------------|--|
| Examiner Signature |  | Date Considered |  |
|--------------------|--|-----------------|--|

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

|  |    |    |    |                          |                  |
|--|----|----|----|--------------------------|------------------|
| IDS Form PTO/SB/08: Substitute for form 1449A/PTO  |    |    |    | <b>Complete if Known</b> |                  |
| <b>INFORMATION DISCLOSURE<br/>STATEMENT BY APPLICANT</b><br><br><i>(Use as many sheets as necessary)</i> |    |    |    | Application Number       | 10/696,659       |
|  |    |    |    | Filing Date              | October 28, 2003 |
|  |    |    |    | First Named Inventor     | Karl L. GINTER   |
|  |    |    |    | Art Unit                 | 2132             |
|  |    |    |    | Examiner Name            | Justin T. DARROW |
| Sheet  | 40 | of | 61 | Attorney Docket Number   | 07451.0001-23000 |

| NON PATENT LITERATURE DOCUMENTS |          |   |             |  |
|---------------------------------|----------|---|-------------|--|
| Examiner Initials               | Cite No. | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published. | Translation |  |
|                                 |          | Kelter, U., et al., "Type Level Access Controls for Distributed Structurally Object-Oriented Database Systems," Computer Security, ESCORICS 92, Second European Symposium on Research in Computer Security, Toulouse, France, November 23-25, 1992, pp. 21-40.  |             |  |
|                                 |          | Kent, S. T., "Protecting Externally Supplied Software in Small Computers," (MIT/LCS/TR-255) Sep. 1980, 254 pages.   |             |  |
|                                 |          | Kent, S., et al., "Privacy Enhancement for Internet Electronic Mail: Part II--Certificate-Based Key Management," Network Working Group, August 1989, pp. 1-22.  |             |  |
|                                 |          | Kent, S.T., "U.S. Department of Defense Security Options for the Internet Protocol," Network Working Group RFC 1108, Nov. 1991.   |             |  |
|                                 |          | Ketchpel, Steve P., et al. "Shopping Models: A Flexible Architecture for Information Commerce", Stanford University.  |             |  |
|                                 |          | Key Cryptolope Components, IBM, viewed on March 13, 2002 at <http://www-3.ibm.com/software/security/cryptolope.about.html> pp. 1-2.   |             |  |
|                                 |          | Key Management (retail) - Part I: Introduction to Key Management; Part II: Key Management Techniques for Symmetric Ciphers, ISO 11568-1 and -2, Dec. 1, 1994.   |             |  |
|                                 |          | Key Management Using ANSI X9.17, Federal Information Processing Standards Publication 171, U.S. Department of Commerce, Apr. 1992.  |             |  |
|                                 |          | KeyKOS Principles of Operation, Key Logic document KL002-04, 1985, Fourth Edition, Jan. 1987.   |             |  |
|                                 |          | Kim, G.H., et al. "Experiences with Tripwire: Using Integrity Checkers for Intrusion Detection," Purdue Technical Report CSD-TR-94-012, Feb. 21, 1994.  |             |  |
|                                 |          | Kim, G.H., et al., "The Design and Implementation of Tripwire: A File System Integrity Checker," November 19, 1993.   |             |  |
|                                 |          | Kim, L., et al., "Novell Cuisine," Proceedings of the ACM SIGUCCS User Services Conference XIX, November 3-6, 1991, Seattle, Washington, pp. 183-184.   |             |  |
|                                 |          | Kim, W., et al., "Features of the ORION Object-Oriented Database System," 1989, pp. 251-282.  |             |  |
|                                 |          | Kim, W., et al., "Object-Oriented Concepts, Databases, and Applications," ACM Press, 1989.  |             |  |
|                                 |          | Klemond, P., "Investigating Object Linking and Embedding, Part II: Adding Server Support," Microsoft Systems Journal, May/June 1992, pp. 87-94.   |             |  |
|                                 |          | Klemond, P., "Taking the Bull by the Horns: Investigating Object Linking and Embedding, Part I," Microsoft Systems Journal, March/April 1992, pp. 19-38.  |             |  |
|                                 |          | Kluepfel, H.M., "Securing a Global Village and its Resources: Baseline Security for Interconnected Signaling System #7 Telecommunications Networks," 1993, pp. 195-212.   |             |  |

|                    |  |                 |  |
|--------------------|--|-----------------|--|
| Examiner Signature |  | Date Considered |  |
|--------------------|--|-----------------|--|

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

|   |    |    |    |                          |                  |
|---|----|----|----|--------------------------|------------------|
| IDS Form PTO/SB/08: Substitute for form 1449A/PTO   |    |    |    | <b>Complete if Known</b> |                  |
| <b>INFORMATION DISCLOSURE<br/>STATEMENT BY APPLICANT</b><br><br>(Use as many sheets as necessary) |    |    |    | Application Number       | 10/696,659       |
|   |    |    |    | Filing Date              | October 28, 2003 |
|   |    |    |    | First Named Inventor     | Karl L. GINTER   |
|   |    |    |    | Art Unit                 | 2132             |
|   |    |    |    | Examiner Name            | Justin T. DARROW |
| Sheet   | 41 | of | 61 | Attorney Docket Number   | 07451.0001-23000 |

| NON PATENT LITERATURE DOCUMENTS |          |   |             |  |
|---------------------------------|----------|---|-------------|--|
| Examiner Initials               | Cite No. | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published. | Translation |  |
|                                 |          | Koenig, A., "Automatic Software Distribution," Usenix Association Software Tools Users Group, Summer Conference, Salt Lake City, June 12-15, 1984, pp. 312-322.   |             |  |
|                                 |          | Kohl, J.T., et al., "The Evolution of the Kerberos Authentication Service," Digital Equipment Corporation, 1991, pp. 1-15.  |             |  |
|                                 |          | Kohl, J.T., et al., "The Kerberos Network Authentication Service (V 5)," Network Working Group Request for Comments RFC-1510, September 1993, pp. 1-104.  |             |  |
|                                 |          | Kohl, U., et al., "Safeguarding Digital Library Contents and Users," IBM research Division, D-Lib magazine, Sep. 1997.  |             |  |
|                                 |          | Kohnfelder, Loren M., "Towards a Practical Public-Key Cryptosystem", May 1978.  |             |  |
|                                 |          | Konheim, Alan, G., et al., Cryptography: A Primer, John Wiley & Sons, Inc., 1981.   |             |  |
|                                 |          | Krajewski, Jr., M., "Applicability of Smart Cards to Network User Authentication," Computing Systems, vol. 7, no. 1, Winter 1994, pp. 75-89.  |             |  |
|                                 |          | Krajewski, Jr., M., "Smart Card Augmentation of Kerberos," The Mitre Corporation, (undated), 6 pages.   |             |  |
|                                 |          | Krajewski, Jr., M., et al., "Concept for a Smart Card Kerberos," The Mitre Corporation, (undated), 7 pages.   |             |  |
|                                 |          | Kramer, M., "Strength in Numbers," PC Week, July 22, 1986, pp. 57-58.   |             |  |
|                                 |          | Kreutzer, A.N., "An On-Line System for Controlling and Monitoring Software Usage in a Microcomputer Laboratory," SIGUCCS Newsletter, vol. 18, no. 2, 1988, pp. 29-32.   |             |  |
|                                 |          | Kristol, D.M., et al., "Anonymous Internet Mercantile Protocol," AT&T Bell Laboratories, March 17, 1994, pp. 1-16.  |             |  |
|                                 |          | Krol, E., The Whole Internet User's Guide and Catalog, 2nd. Ed., O' Reilly & Associates, Inc., 1992.  |             |  |
|                                 |          | Kurak, C., et al., "A Cautionary Note On Image Downgrading," Proceedings of the 1992 Computer Security Applications Conference, San Antonio, TX, December 1992, 7 pages.  |             |  |
|                                 |          | Lacy, Jack, et al., "Music on the Internet and the Intellectual Property Protection Problem".   |             |  |
|                                 |          | Lagoze et al., "A Design for Inter-Operable Secure Object Stores (ISOS)," Cornell University, NCSA, CNRI, Nov. 1995.  |             |  |
|                                 |          | Lagoze, C., "The Warwick Framework, A Container Architecture for Diverse Sets of Metadata," D-Lib Magazine, July/Aug. 1996, 7 pages.  |             |  |
|                                 |          | Lagoze, Carl, "A Secure Repository Design for Digital Libraries", D-Lib Magazine, Dec. 1995.  |             |  |
|                                 |          | LaLonde Wilf, R., et al., Inside Smalltalk: Volume 1, Prentice-Hall, Inc., 1990.  |             |  |

|                    |  |                 |  |
|--------------------|--|-----------------|--|
| Examiner Signature |  | Date Considered |  |
|--------------------|--|-----------------|--|

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

|   |    |    |    |                          |                  |
|---|----|----|----|--------------------------|------------------|
| IDS Form PTO/SB/08: Substitute for form 1449A/PTO   |    |    |    | <b>Complete if Known</b> |                  |
| <b>INFORMATION DISCLOSURE<br/>STATEMENT BY APPLICANT</b><br><br>(Use as many sheets as necessary) |    |    |    | Application Number       | 10/696,659       |
|   |    |    |    | Filing Date              | October 28, 2003 |
|   |    |    |    | First Named Inventor     | Karl L. GINTER   |
|   |    |    |    | Art Unit                 | 2132             |
|   |    |    |    | Examiner Name            | Justin T. DARROW |
| Sheet   | 42 | of | 61 | Attorney Docket Number   | 07451.0001-23000 |

| NON PATENT LITERATURE DOCUMENTS |          |   |             |
|---------------------------------|----------|---|-------------|
| Examiner Initials               | Cite No. | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published. | Translation |
|                                 |          | Lampson, B.W., "A Note on the Confinement Problem," Communications of the ACM, October, 1973, pp. 1-5.  |             |
|                                 |          | Lampson, B.W., "Computer Security," Digital Equipment Corporation, 1991, pp. 1-54.  |             |
|                                 |          | Lampson, Butler, et al., "Authentication in Distributed Systems: Theory and Practice," ACM Trans. Computer Systems, Vol. 10, No. 4, Nov. 1992, 46 pages.  |             |
|                                 |          | Landwehr, C.E., et al., "A Taxonomy of Computer Program Security Flaws," ACM Computer Surveys, Vol. 26, No. 3, September 1994, pp. 211-254.   |             |
|                                 |          | Landwehr, C.E., "Formal Models for Computer Security," Computer Surveys, Vol. 13, No. 3, September 1981, pp. 247-278.   |             |
|                                 |          | Langelaar, G.C. "Overview of Protection Methods in Existing TV and Storage Devices," SMS-TUD-609-1, Final Ver. 1,2, Feb. 26, 1996.  |             |
|                                 |          | Lanza, M., "George Gilder's Fifth Article-Digital Darkhorse - Newspapers," Feb. 21, 1994, 2 pages.  |             |
|                                 |          | Leary, P., "Are There Ciphers in Shakespeare?," 1995, pp. 1-18.   |             |
|                                 |          | Lehman, B., "Intellectual Property and the National Information Infrastructure, A Preliminary Draft of the Report of the Working Group on Intellectual Property Rights," July 1994, 4 introductory pages and pp. 1-141.   |             |
|                                 |          | Leiss, E., "On Authorization Systems with Grantor-Controlled Propagation on Privileges," Compcon 83, February 28-March 3, 1983, San Francisco, California, pp. 499-502.   |             |
|                                 |          | Lesk, M., "Digital Libraries Meet Electronic Commerce: On-Screen Intellectual Property," Dec. 15, 1998.   |             |
|                                 |          | Levine, P.H., et al., "Network License Server," Apollo, October 1987, pp. 1-19.   |             |
|                                 |          | Levy, S., "E-Money, That's What I Want," WIRED, Issue 2.12, Dec. 1994, 10 pages.  |             |
|                                 |          | Lewontin, S., et al., "The DCE Web Project: Providing Authorization and Other Distributed Services to the World Wide Web," February 22, 2002.   |             |
|                                 |          | Lin, P., "The Encapsulated Security Services Interface (ESSI)," Computer Security (A-37), 1993, pp. 119-135.  |             |
|                                 |          | Linn, J., "Privacy Enhancement for Internet Electronic Mail: Part I--Message Encipherment and Authentication Procedures," Network Working Group, August 1989, pp. 1-30.   |             |
|                                 |          | Lipson, S., "Little Black Box 'Blocks' Illicit Software Copying," Stamford Advocate, September 14, 1986, pp. E1-E2.   |             |
|                                 |          | List of Articles, <www.chaum.com/articles/list-of-articles.htm>, as on August 23, 2002, 4 pages.  |             |

|                    |  |                 |  |
|--------------------|--|-----------------|--|
| Examiner Signature |  | Date Considered |  |
|--------------------|--|-----------------|--|

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

|  |    |    |    |                          |                  |
|--|----|----|----|--------------------------|------------------|
| IDS Form PTO/SB/08: Substitute for form 1449A/PTO  |    |    |    | <b>Complete if Known</b> |                  |
| <b>INFORMATION DISCLOSURE<br/>STATEMENT BY APPLICANT</b><br><br><i>(Use as many sheets as necessary)</i> |    |    |    | Application Number       | 10/696,659       |
|  |    |    |    | Filing Date              | October 28, 2003 |
|  |    |    |    | First Named Inventor     | Karl L. GINTER   |
|  |    |    |    | Art Unit                 | 2132             |
|  |    |    |    | Examiner Name            | Justin T. DARROW |
| Sheet  | 43 | of | 61 | Attorney Docket Number   | 07451.0001-23000 |

| NON PATENT LITERATURE DOCUMENTS |          |   |             |
|---------------------------------|----------|---|-------------|
| Examiner Initials               | Cite No. | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published. | Translation |
|                                 |          | Lockhart, Jr., H.W., OSF DCE Guide to Developing Distributed Applications, McGraw-Hill, Inc., 1994.   |             |
|                                 |          | Lord et al., "Access Management in Multi-Administration Networks," IEE 2nd International Conference on Secure Communication Systems, 1986.  |             |
|                                 |          | Low, S.H. et al., "Anonymous Credit Cards," AT&T Bell Laboratories, Proceedings of the 2nd ACM Conference on Computer and Communication Security, Fairfax, VA, Nov. 2-4, 1994, 10 pages.  |             |
|                                 |          | Low, S.H. et al., "Document Marking and Identification Using both Line and Word Shifting," AT&T Bell Laboratories, Murray Hill, NJ, July 29, 1994, 22 pages.  |             |
|                                 |          | Lunt, Teresa, "Multilevel Security for Object-Oriented Database Systems," SRI International Computer Science Laboratory, 1990, pp. 199-209.   |             |
|                                 |          | Lynch, C., "Searching the Internet," Scientific American, March 1997, pp. 52-56.  |             |
|                                 |          | Mach Books, viewed on February 6, 2002 at <a href="http://www2.cs.cmu.edu/afs/cs/project/mach/public/www/doc/books.html">http://www2.cs.cmu.edu/afs/cs/project/mach/public/www/doc/books.html</a> , pp. 1-3.  |             |
|                                 |          | Maclachlan, M., Document from the Internet: "PowerAgent Debuts Spam-Free Marketing," TechWire, Aug. 13, 1997, 3 pages.  |             |
|                                 |          | Manager's Guide to MPE/iX Security, Hewlett-Packard Company, April 1994.  |             |
|                                 |          | Mann, C.C., "Homeland Insecurity," September 2002.  |             |
|                                 |          | Mathy, Laurent, "Features of the ACCOPI Multimedia Transport Service", Lecture Notes in Computer Science, NO. 1045, Proc. of European Workshop IDMS' 96, March 1996.  |             |
|                                 |          | Maude, T., et al., "Hardware Protection Against Software Piracy," Communications of the ACM, vol. 27, no. 9, September 1984, pp. 951-959.   |             |
|                                 |          | Maxemchuk, N.F., "Electronic Document Distribution," AT&T Bell Laboratories, Murray Hill, NJ, (undated), 11 pages.  |             |
|                                 |          | McCloghrie, K., et al., "Definitions of Managed Objects for Administration of SNMP Parties," Network Working Group, July 1992, pp. 1-17.  |             |
|                                 |          | McCloghrie, K., et al., "Management Information Base for Network Management of TCP/IP-based Internets," Network Working Group, RFC 1156 (May 1990).   |             |
|                                 |          | McCollum, C.J., et al., "Beyond the Pale of MAC and DAC-Defining New Forms of Access Control," Unisys Defense Systems, 1990, pp. 190-200.   |             |
|                                 |          | McGraw, G., et al., Java Security, John Wiley & Sons, Inc., 1997.   |             |
|                                 |          | Medvinsky, G., et al., "NetCash: A Design for Practical Electronic Currency on the Internet," 1st Conference on Computer and Communication Security, November, 1993, pp. 102-106.   |             |
|                                 |          | Merkle, Ralph C., "Protocols for Public Key Cryptosystems", IEEE, 1980.   |             |

|                    |  |                 |  |
|--------------------|--|-----------------|--|
| Examiner Signature |  | Date Considered |  |
|--------------------|--|-----------------|--|

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

|  |    |    |                          |                        |                  |
|--|----|----|--------------------------|------------------------|------------------|
| IDS Form PTO/SB/08: Substitute for form 1449A/PTO  |    |    | <b>Complete if Known</b> |                        |                  |
| <b>INFORMATION DISCLOSURE<br/>STATEMENT BY APPLICANT</b><br><br><i>(Use as many sheets as necessary)</i> |    |    | Application Number       | 10/696,659             |                  |
|  |    |    | Filing Date              | October 28, 2003       |                  |
|  |    |    | First Named Inventor     | Karl L. GINTER         |                  |
|  |    |    | Art Unit                 | 2132                   |                  |
|  |    |    | Examiner Name            | Justin T. DARROW       |                  |
| Sheet  | 44 | of | 61                       | Attorney Docket Number | 07451.0001-23000 |

| NON PATENT LITERATURE DOCUMENTS |          |  |                 |
|---------------------------------|----------|--|-----------------|
| Examiner Initials               | Cite No. | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.  | Translation     |
|                                 |          | Merkle, Ralph C., "Secure Communications Over Insecure Channels," Communications of the ACM, vol. 21, no. 4, April 1978, pp. 294-296.  |                 |
|                                 |          | Meyer, C.H., et al., Cryptography: A New Dimension in Computer Data Security, John Wiley & Sons, Inc., 1982.   |                 |
|                                 |          | Micro Card, Micro Card Technologies, Inc., Dallas, TX, (undated), 4 pages.   |                 |
|                                 |          | Microsoft Authenticode Technology, Microsoft Corporation, Oct. 1996.   |                 |
|                                 |          | Milbrandt, E., Document from the Internet: "Steganography Info and Archive," 1996, 2 pages.  |                 |
|                                 |          | Millen, J.K., et al., "Security for Object-Oriented Database Systems," Proceedings of the 1992 IEREE Computer Society Symposium on Research in Security and Privacy, May 4-6, 1992, Oakland, California, pp. 260-272.  |                 |
|                                 |          | Miller, S.P., et al., "Kerberos Authentication and Authorization System," Massachusetts Institute of Technology, October 27, 1998, pp.1-36.  |                 |
|                                 |          | Minear, S.E., "Providing Policy Control Over Object Operations in a Mach Based System," Secure Computing Corporation, April 28, 1995, 15 pages.  |                 |
|                                 |          | Miscellaneous letter from Georges Van Slype at Bureau Van Dijk, Feb. 28, 1994.   |                 |
|                                 |          | Miscellaneous Letters from Georges Van Slype at Bureau Van Dijk, Apr. 19, 1994, Apr. 18, 1994, Apr. 11, 1994, Apr. 6, 1994..   |                 |
|                                 |          | Miscellaneous Letters from Georges Van Slype at Bureau Van Dijk, Feb. 13, 1995 and Nov. 2, 1994.   |                 |
|                                 |          | Miscellaneous Letters from Georges Van Slype at Bureau Van Dijk, Feb. 9, 1994, Jan. 27, 1994, Jan. 19, 1994, Jan. 12, 1994, Dec. 22, 1993, Nov. 30, 1993, Nov. 22, 1993, Dec. 6, 1993, Nov. 16, 1993, Oct. 15, 1993, Oct. 7, 1993, Oct. 4, 1993, Sep. 20, 1993., |                 |
|                                 |          | Miscellaneous Letters from Georges Van Slype at Bureau Van Dijk, Mar. 30, 1994, Mar. 24, 1994, Feb. 10, 1994.  |                 |
|                                 |          | Miscellaneous Letters from Georges Van Slype at Bureau Van Dijk, Mar. 30, 1995.  |                 |
|                                 |          | Miscellaneous Letters from Georges Van Slype at Bureau Van Dijk, Sep. 12, 1994, May 11, 1994, May 10, 1994, May 6, 1994, May 4, 1994, Apr. 21, 1994, Apr. 20, 1994.  |                 |
|                                 |          | Moens, Jan, "Case of Application of the Generic CITED Model to the CITEDisation of a Directory Database on CD-ROM, Ver. 2.0," ESPIRIT II, Project 5469, The CITED Consortium, Nov. 30, 1992.   |                 |
|                                 |          | Moens, Jan, "Report on the Users Requirements, Ver. 1.0," ESPIRIT II, Project 5469, The CITED Consortium, Nov. 27, 1991.   |                 |
|                                 |          | Moffett, Jonathan D., "Delegation of Authority Using Domain-Based Access Rules," thesis Imperial College of Science, Technology & Medicine, University of London, Jul. 1990.   |                 |
| Examiner Signature              |          |  | Date Considered |

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

|  |    |    |    |                          |                  |
|--|----|----|----|--------------------------|------------------|
| IDS Form PTO/SB/08: Substitute for form 1449A/PTO  |    |    |    | <b>Complete if Known</b> |                  |
| <b>INFORMATION DISCLOSURE<br/>STATEMENT BY APPLICANT</b><br><br><i>(Use as many sheets as necessary)</i> |    |    |    | Application Number       | 10/696,659       |
|  |    |    |    | Filing Date              | October 28, 2003 |
|  |    |    |    | First Named Inventor     | Karl L. GINTER   |
|  |    |    |    | Art Unit                 | 2132             |
|  |    |    |    | Examiner Name            | Justin T. DARROW |
|  |    |    |    | Attorney Docket Number   | 07451.0001-23000 |
| Sheet  | 45 | of | 61 |                          |                  |

| NON PATENT LITERATURE DOCUMENTS |          |   |             |  |
|---------------------------------|----------|---|-------------|--|
| Examiner Initials               | Cite No. | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published. | Translation |  |
|                                 |          | Moffett, Jonathan D., "Specification of Management Policies and Discretionary Access Control," Department of Computer Science, University of York, June 28, 1994, pp. 1-28.   |             |  |
|                                 |          | Moffett, Jonathan D., et al., "An Introduction to Security Distributed Systems," Department of Computer Science, University of York, England, August 1993, pp. 1-14.  |             |  |
|                                 |          | Moffett, Jonathan D., et al., "Policy Hierarchies for Distributed Systems Management," IEEE JSAC Special Issue on Network Management, vol. 11, no. 9, December 1993, pp. 1-4.   |             |  |
|                                 |          | Moffett, Jonathan D., et al., "Specifying Discretionary Access Control Policy for Distributed Systems," Computer Communications, vol. 13, no. 9, November, 1990, pp. 1-17.  |             |  |
|                                 |          | Moffett, Jonathan D., et al., "The Representation of Policies as System Objects," Proceedings of the Conference on Organizational Computer Systems (COCS '91), Atlanta, Georgia, November 5-8, 1991, 16 pages.  |             |  |
|                                 |          | Montini, G, et al., "Access Control Models and Office Structures," Computer Security: A Global Challenge, 1984, pp. 473-485.  |             |  |
|                                 |          | Mori, R. et al., "Superdistribution: The Concept and the Architecture," THE TRANSACTIONS OF THE EIEICE; V, E73, No. 7, Tokyo, Japan, July 1990, pp. 1133-1146.  |             |  |
|                                 |          | Mossberg, W.S., "Personal Technology, Threats to Privacy On-Line Become More Worrisome," The Wall Street Journal, Oct. 24, 1996, 2 pages.   |             |  |
|                                 |          | Motorola MC68030 Enhanced 32-bit Microprocessor User's Manual, 2nd Ed., Prentice-Hall, 1989.  |             |  |
|                                 |          | MSDN-INF: LAN Manager 2.1 Server Autotuning (Part2), PSS ID No. 080078, Microsoft, Feb. 1993.   |             |  |
|                                 |          | MSDN-Licence Service Application Programming Interface, API Specification v1.02, Micorsoft, Jan. 1993.  |             |  |
|                                 |          | Muftic, Sead, Security Mechanisms for Computer Networks, Ellis Horwood Limited, 1989.   |             |  |
|                                 |          | Mullender, S., Distributed Systems, ACM Press, 1989.  |             |  |
|                                 |          | Multics, Home; viewed on November 12, 2001 at < <a href="http://www.multicians.org">http://www.multicians.org</a> > pp. 1-3.  |             |  |
|                                 |          | Multimedia Mixed Object Envelopes Supporting a Graduated Fee Scheme Via Encryption, IBM Technical Disclosure Bulletin, Vol. 37, No. 3, 1 Mar. 1994, pp. 413-17.   |             |  |
|                                 |          | Multimedia System Services Ver. 1.0, Hewlett-POackard, IBM, & SunSoft, 1993.  |             |  |
|                                 |          | National Semiconductor and EPR Partner for Information Metering/Data Security Cards, Press Release, (Mar. 4, 1994), 4 pages.  |             |  |

|                    |  |                 |  |
|--------------------|--|-----------------|--|
| Examiner Signature |  | Date Considered |  |
|--------------------|--|-----------------|--|

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.



|  |    |    |                          |                  |  |
|--|----|----|--------------------------|------------------|--|
| IDS Form PTO/SB/08: Substitute for form 1449A/PTO  |    |    | <b>Complete if Known</b> |                  |  |
| <b>INFORMATION DISCLOSURE<br/>STATEMENT BY APPLICANT</b><br><br><i>(Use as many sheets as necessary)</i> |    |    | Application Number       | 10/696,659       |  |
|  |    |    | Filing Date              | October 28, 2003 |  |
|  |    |    | First Named Inventor     | Karl L. GINTER   |  |
|  |    |    | Art Unit                 | 2132             |  |
|  |    |    | Examiner Name            | Justin T. DARROW |  |
|  |    |    | Attorney Docket Number   | 07451.0001-23000 |  |
| Sheet  | 46 | of | 61                       |                  |  |

| NON PATENT LITERATURE DOCUMENTS |          |  |  |             |
|---------------------------------|----------|--|--|-------------|
| Examiner Initials               | Cite No. | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.  |  | Translation |
|                                 |          | Needham, R.M., "Aiding Capability Access to Conventional File Servers," Xerox Palo Alto Research Center, (undated), pp. 3-4.   |  |             |
|                                 |          | Negroponte, N., "Electronic Word of Mouth," WIRED, Oct. 1996, p. 218.  |  |             |
|                                 |          | Negroponte, N., "Some Thoughts on Likely and Expected Communications Scenarios: A Rebuttal," Telecommunications, Jan. 1993, pp. 41-42.   |  |             |
|                                 |          | Neuman B.C., et al. "Kerberos: An Authentication Service for Computer Networks," IEEE Communications magazine, Sep. 1994.  |  |             |
|                                 |          | Neuman, B.C., "Proxy-Based Authorization and Accounting for Distributed Systems," Information Sciences Institute, University of Southern California, 1993, pp. 283-291.  |  |             |
|                                 |          | Neumann, P.G. et al., "A Provably Secure Operating System: The System, Its Applications, and Proofs," Computer Science Laboratory Report CSL-116, Second Edition, SRI International, June 1980, 381 pages.   |  |             |
|                                 |          | New Products, Systems and Services, AT&T TECHNOLOGY, Vol. 9, No. 4, (undated), pp. 16-19.  |  |             |
|                                 |          | News from The Document Company XEROX, Xerox Announces Software Kit for Creating 'Working Documents' with Dataglyphs, Nov. 6, 1995, 13 pages.   |  |             |
|                                 |          | Nguyen, Thanh et al., "Guidelines for Validation of a CITED System," CITED 5469, SA-21-40-003, Jul. 4, 1994.   |  |             |
|                                 |          | NII, Architecture Requirements, XIWT, (undated), 38 pages.   |  |             |
|                                 |          | NSA Korean War 1950-1953 Commemoration, History Papers, National Security Agency, <a href="http://www.nsa.gov/korea/papers.htm">http://www.nsa.gov/korea/papers.htm</a> , pp. 1-2.   |  |             |
|                                 |          | O'Connor, MaryAnn, "New Distribution Option for Electronic Publishers," Information Access Co., March 1994, pp. 1-6.   |  |             |
|                                 |          | OLE 2.0 Draft Content: Object Linking & embedding", Microsoft, June 5, 1991.   |  |             |
|                                 |          | Olivier, M.S. et al., "A Taxonomy for Secure Object-oriented Databases," ACM Transactions on Database Systems, Vol. 19, No. 1, March 1994, pp. 3-46.   |  |             |
|                                 |          | Olivier, M.S. et al., "DISCO: A Discretionary Security Model for Object-oriented Databases," in GG Gable and WJ Caelli, Eds., IT Security: The Need for International Cooperation, pp. 345-357, Elsevier Science Publishers B.V. (North Holland), 1992, 14 pagee |  |             |
|                                 |          | Olivier, M.S. et al., "Secure Object-oriented Databases," Ph.D. Thesis, Rand Afrikaans University, Johannesburg, December 1991, pages i to xiv and 1-183.  |  |             |
|                                 |          | Olivier, M.S., "A Multilevel Secure Federated Database," Database Security, VIII (A-60), 1994, pp. 183-198.  |  |             |
|                                 |          | Olivier, M.S., et al., "Building a Secure Database using Self-protecting Objects," Computers & Security, Vol. 11, No. 3, 259-271, 1992.  |  |             |

|                    |  |                 |  |
|--------------------|--|-----------------|--|
| Examiner Signature |  | Date Considered |  |
|--------------------|--|-----------------|--|

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

|  |    |    |    |                          |                  |
|--|----|----|----|--------------------------|------------------|
| IDS Form PTO/SB/08: Substitute for form 1449A/PTO  |    |    |    | <b>Complete if Known</b> |                  |
| <b>INFORMATION DISCLOSURE<br/>STATEMENT BY APPLICANT</b><br><br><i>(Use as many sheets as necessary)</i> |    |    |    | Application Number       | 10/696,659       |
|  |    |    |    | Filing Date              | October 28, 2003 |
|  |    |    |    | First Named Inventor     | Karl L. GINTER   |
|  |    |    |    | Art Unit                 | 2132             |
|  |    |    |    | Examiner Name            | Justin T. DARROW |
| Sheet  | 47 | of | 61 | Attorney Docket Number   | 07451.0001-23000 |

| NON PATENT LITERATURE DOCUMENTS |          |   |             |
|---------------------------------|----------|---|-------------|
| Examiner Initials               | Cite No. | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published. | Translation |
|                                 |          | Olson, M.S., et al., "Concurrent Access Licensing," vol. 6, no. 9, Unix Review, 1988, pp. 67-74.  |             |
|                                 |          | OMG Security Working Group, "OMG White Paper on Security," OMG Security Working Group, April 1994, pp. 1-24.  |             |
|                                 |          | OOPSLA 1993: Addendum to the Proceedings, "Security for Object-Oriented Systems," September 26-October 1, 1993, pp. 77-78.  |             |
|                                 |          | Open System Environment Architectural Framework for National Information Infrastructure Services and Standards, in Support of National Class Distributed Systems, Distributed System Engineering Program Sponsor Group, Draft 1.0, Aug. 5, 1994, 34 pages.      |             |
|                                 |          | Open Systems Interconnection: Security Architecture, ISO 7498/1, 1988.  |             |
|                                 |          | Open Systems Interconnection: Security Architecture, ISO 7498/2, 1988.  |             |
|                                 |          | OpenDoc vs. OLE 2.0: Superior by Design, IBM, January 1994, pp. 1-4.  |             |
|                                 |          | Orfali, R., et al., The Essential Distributed Objects Survival Guide, John Wiley & Sons, Inc., 1996.  |             |
|                                 |          | Organick, E.I., The Multics System: An Examination of Its Structure, MIT Press, 1972.   |             |
|                                 |          | OSF DCE Administration Guide-Core Components, Open Software Foundation, PTR Prentice Hall, 1993.  |             |
|                                 |          | Paepcke, Andreas, "Summary of Stanford's Digital Library Testbed and Status," Stanford University, D-Lib Magazine, Jul. 1996.   |             |
|                                 |          | Paradinas, Pierre et al., "New Directions for Integrated Circuit Cards Operating Systems."  |             |
|                                 |          | Park, J.S., AS/400 Security in a Client/Server Environment, John Wiley & Sons, Inc., 1995.  |             |
|                                 |          | Payment Systems; Strategic Choices for the Future, Hitachi Research Institute; Institute of Advanced Business Systems, Hitachi, Ltd., 1993.   |             |
|                                 |          | Pelton, J.N., "Why Nicholas Negroponte is Wrong About the Future of Telecommunications," Telecommunications, Jan. 1993, pp. 35-40.  |             |
|                                 |          | Perlman, Bill, "A Working Anti-Taping System for Cable Pay-Per-View," IEEE Trans. On Consumer Electronics, Vol. 35, No. 3, Aug. 1989.   |             |
|                                 |          | Personal Identification Number (PIN) management and security - Part I: Basic Principles and Requirements for online PIN Handling in ATM and POS Systems; & -2 Approved Algorithm(s) for PIN Encipherment, ISO 9564-1 & -2, (Apr. 15, 2002 & Dec. 15, 1991       |             |
|                                 |          | Pethia et al., "Guidelines for the Secure Operation of the Internet," Network Working Group, RFC 1281, Nov. 1991.   |             |

|                    |  |                 |  |
|--------------------|--|-----------------|--|
| Examiner Signature |  | Date Considered |  |
|--------------------|--|-----------------|--|

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

|  |    |    |    |                          |                  |
|--|----|----|----|--------------------------|------------------|
| IDS Form PTO/SB/08: Substitute for form 1449A/PTO  |    |    |    | <b>Complete if Known</b> |                  |
| <b>INFORMATION DISCLOSURE<br/>STATEMENT BY APPLICANT</b><br><br><i>(Use as many sheets as necessary)</i> |    |    |    | Application Number       | 10/696,659       |
|  |    |    |    | Filing Date              | October 28, 2003 |
|  |    |    |    | First Named Inventor     | Karl L. GINTER   |
|  |    |    |    | Art Unit                 | 2132             |
|  |    |    |    | Examiner Name            | Justin T. DARROW |
| Sheet  | 48 | of | 61 | Attorney Docket Number   | 07451.0001-23000 |

| NON PATENT LITERATURE DOCUMENTS |          |   |             |  |
|---------------------------------|----------|---|-------------|--|
| Examiner Initials               | Cite No. | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published. | Translation |  |
|                                 |          | Picciotto, J., et al., "Extended Labeling Policies for Enhanced Application Support," Computers & Security, vol. 13, no. 7, 1994, pp. 587-599.  |             |  |
|                                 |          | Pietreck, M., Windows Internals: The Implementation of the Windows Opeartion Environment, Addison-Wesley, 1993.   |             |  |
|                                 |          | Pijenburg, Mari F.J., "Auteursrecht En De Digitale Bibliotheek," 195 Open, Jan. 1995.   |             |  |
|                                 |          | Pijenburg, Mari F.J., "CITED Final Report," Elsevier Science B.V., Apr. 1994.   |             |  |
|                                 |          | PKCS #1:RSA Encryption Standard," RSA Laboratories Technical Note, Ver. 1.5, revised Nov. 1, 1993.  |             |  |
|                                 |          | PKCS #10: Certification Request Syntax Stanard," An RSA Laboratories Technical Note, Ver. 1.0, Nov. 1, 1993.  |             |  |
|                                 |          | PKCS #11: Cryptographic Token Interface Standard", An RSA Laboratories Technical Note, Ver. 2.0, Apr. 15, 1997.   |             |  |
|                                 |          | PKCS #12 v 1.0: Personal Information Exchange Syntax", RSA Laboratories, Jun. 24, 1999.   |             |  |
|                                 |          | PKCS #13: Elliptic Curve Crytography Standard", RSA Security, Jan. 12, 1998.  |             |  |
|                                 |          | PKCS #15 v 1.0: Cryptographic Token Information Format Standard", RSA Laboratories, Apr. 23, 1999.  |             |  |
|                                 |          | PKCS #3: Duffie-Hellman Key-Agreement Standard," RSA Laboratories Technical Note, Ver. 1.4, revised Nov. 1, 1993.   |             |  |
|                                 |          | PKCS #5: Password-Based Encryption Standard," An RSA Laboratories Technical Note, Ver. 1.5, 1991-1993, Revised Nov. 1, 1993.  |             |  |
|                                 |          | PKCS #6: Extended-Certificate Syntax Standard," RSA Laboratories Technical Note, Ver. 1.5, revised Nov. 1, 1993.  |             |  |
|                                 |          | PKCS #8: Private-Key Information Syntax Standard," An RSA Laboratories Technical Note, Ver. 1.2, 1991-1993, Revised Nov. 1, 1993.   |             |  |
|                                 |          | PKCS #9: Selected Attribute Types," RSA Laboratories Technical Note, Ver. 1.1, revised Nov. 1, 1993.  |             |  |
|                                 |          | Polk, T.W., "Approximating Clark-Wilson "Access Triples" with Basic UNIX Controls," Symposium Proceedings, Unix Security IV, October 4-6, 1993, Santa Clara, California, pp. 145-154.   |             |  |
|                                 |          | Popek, Gerald, J., et al., "Encryption and Secure Computer Networks," Computing Surveys, vol. 11, no. 4, December 1979, pp. 331-356.  |             |  |
|                                 |          | Portland Software's Ziplock, Internet Information, Copyright Portland Software 1995-1996, 11 pages.   |             |  |
|                                 |          | Premenos Announces Templar 2.0--Next Generation Software for Secure Internet EDI, Jan. 17, 1996, 1 page.  |             |  |

|                    |  |                 |  |
|--------------------|--|-----------------|--|
| Examiner Signature |  | Date Considered |  |
|--------------------|--|-----------------|--|

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

|  |    |    |    |                          |                  |
|--|----|----|----|--------------------------|------------------|
| IDS Form PTO/SB/08: Substitute for form 1449A/PTO  |    |    |    | <b>Complete if Known</b> |                  |
| <b>INFORMATION DISCLOSURE<br/>STATEMENT BY APPLICANT</b><br><br><i>(Use as many sheets as necessary)</i> |    |    |    | Application Number       | 10/696,659       |
|  |    |    |    | Filing Date              | October 28, 2003 |
|  |    |    |    | First Named Inventor     | Karl L. GINTER   |
|  |    |    |    | Art Unit                 | 2132             |
|  |    |    |    | Examiner Name            | Justin T. DARROW |
| Sheet  | 49 | of | 61 | Attorney Docket Number   | 07451.0001-23000 |

| NON PATENT LITERATURE DOCUMENTS |          |   |                 |
|---------------------------------|----------|---|-----------------|
| Examiner Initials               | Cite No. | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published. | Translation     |
|                                 |          | Press, Jim, "Secure Transfer of Identity and Privilege Attributes in an Open Systems Environment," Computers & Security, vol. 10, no. 2, 1991, pp. 117-127.   |                 |
|                                 |          | Press, Jim, et al, "A New Approach to Cryptographic Facility Design", ICL Mid-Range Systems Division Reading, Berks, UK.  |                 |
|                                 |          | Privacy and the NII: Safeguarding Telecommunications - Related Personal Information, U.S. Dept. of Commerce, Oct. 1995.   |                 |
|                                 |          | Proceedings: Technological Strategies for Protecting Intellectual Property in the Networked Multimedia Environment, 1994, Coalition for Networked Information, Interactive Multimedia Association, John F. Kennedy School of Government, Journal of the Inte    |                 |
|                                 |          | Proper Use of Consumer Information on the Internet, White Paper, Power Agent Inc., Menlo Park, CA, June 1997, 9 pages.  |                 |
|                                 |          | Protecting Electronically Published Properties, Increasing Publishing Profits, Electronic Publishing Resources Inc., Chevy Chase, Maryland, 1991, 17 pages.   |                 |
|                                 |          | Purdy, G.B., et al., "A Software Protection Scheme," Proceedings of the 1982 Symposium on Security and Privacy, April 26-28, 1982, Oakland California, pp. 99-103.  |                 |
|                                 |          | R01 - Solving Critical Electronics Publishing Problems, Personal Library Software, 1987 or 1988, 4 pages.   |                 |
|                                 |          | R01, Personal Library Software, 1987 or 1988.   |                 |
|                                 |          | Rankine, G., "THOMAS--A Complete Single-Chip RSA Device," Advances in Cryptography, Proceedings of CRYPTO 86, (A.M. Odizko Ed., Springer-Verlag) 1987, pp. 480-87.  |                 |
|                                 |          | Rashid, R.F., CMU Computer Science: A 25th Anniversary Commemorative, Addison-Wesley Publishing Company, 1991.  |                 |
|                                 |          | Reali, Patti, "Copy Protection: The answer to pay per view's Prayers?," TVRO Dealer, Dec. 1994.   |                 |
|                                 |          | Reiher, et al., "Truffles - A Secure Service for Widespread File Sharing," UCLA, Trusted Information Systems.   |                 |
|                                 |          | Reiher, et al., "Truffles - Secure File Sharing With minimal system Administrator Intervention," UCLA, Trusted Information Systems.   |                 |
|                                 |          | Reilly, A.K., "Input to the 'International Telecommunications Hearings,' Panel 1: Component Technologies of the NII/GII," Standards Committee T1-Telecommunications (undated), 14 pages.  |                 |
|                                 |          | Request for Technology: Multimedia System Services, Ver. 2.0, Interactive Multimedia Association Compatibility Project, Nov. 9, 1992.   |                 |
|                                 |          | Request for Technology: Multimedia System Services, Draft, Ver. 1.1, Interactive Multimedia Association Compatibility Project, October 16, 1992.  |                 |
| Examiner Signature              |          |   | Date Considered |

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

|  |    |    |    |                          |                  |
|--|----|----|----|--------------------------|------------------|
| IDS Form PTO/SB/08: Substitute for form 1449A/PTO  |    |    |    | <b>Complete if Known</b> |                  |
| <b>INFORMATION DISCLOSURE<br/>STATEMENT BY APPLICANT</b><br><br><i>(Use as many sheets as necessary)</i> |    |    |    | Application Number       | 10/696,659       |
|  |    |    |    | Filing Date              | October 28, 2003 |
|  |    |    |    | First Named Inventor     | Karl L. GINTER   |
|  |    |    |    | Art Unit                 | 2132             |
|  |    |    |    | Examiner Name            | Justin T. DARROW |
| Sheet  | 50 | of | 61 | Attorney Docket Number   | 07451.0001-23000 |

| NON PATENT LITERATURE DOCUMENTS |          |   |             |  |
|---------------------------------|----------|---|-------------|--|
| Examiner Initials               | Cite No. | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published. | Translation |  |
|                                 |          | Requirements for the Software License Management System, System Management Work Group, Rev. 3, Unix International, July 23, 1992.   |             |  |
|                                 |          | Rescorla, E., et al., "The Secure HyperText Transfer Protocol," Enterprise Integration Technologies, June 1994, pp. 1-23.   |             |  |
|                                 |          | Resnick, P., "Filtering Information on the Internet," Scientific American, March 1997, pp. 62-64.   |             |  |
|                                 |          | Resnick, P., et al., "Recommender Systems," Communications of the ACM, Vol. 40, No. 3, Mar. 1997, pp. 56-58.  |             |  |
|                                 |          | Richardson, D.W., Electronic Money: Evolution of an Electronic Funds-Transfer System, The MIT Press, 1970.  |             |  |
|                                 |          | Rindfrey J., "Security in the World Wide Web," Fraunhofer Institute for Computer Graphics, Dec. 1996.   |             |  |
|                                 |          | Rindfrey, Jochen, "Towards an Equitable System for Access Control and Copyright Protection in Broadcast Image Services; The Equicrypt Approach," Fraunhofer Institute for Computer Graphics.  |             |  |
|                                 |          | Rivest, Ronald L., "The MD5 Message-Digest Algorithm," Network Working Group, April 1992, pp. 1-21.   |             |  |
|                                 |          | Rivest, Ronald L., et al., "A Method for Obtaining Digital Signatures and Public-Key Cryptosystems," Communications of the ACM, vol. 21, no. 2, February, 1978, pp. 120-126b.   |             |  |
|                                 |          | Rivest, Ronald L., et al., "SDSI - A Simple Distributed Security Infrastructure", MIT and Microsoft Corporation, April 30, 1996.  |             |  |
|                                 |          | Roberts, R., et al., Compute!'s Computer Security, Compute! Publications, Inc., 1989.   |             |  |
|                                 |          | Robinson et al., "Encoding Header Field for Internet Messages," Network Working Group RPC 1154, Apr. 1990.  |             |  |
|                                 |          | Rose et al., "Structure and Identification of management Information for TCP/IP-based Internets," Network Working Group RFC 1155, May 1990.   |             |  |
|                                 |          | Rose, L., Cyberspace and the Legal Matrix: Laws or Confusion?, 1991, pp. 43-52.   |             |  |
|                                 |          | Rosenberry, W., et al., "Distributing Applications Across DCE and Windows NT," 1993.  |             |  |
|                                 |          | Rosenberry, W., et al., Understanding DCE, O'Reilly & Associates, Inc., 1992.   |             |  |
|                                 |          | Rosenthal, Doug, "EINet: A secure, Open Network for Electronic Commerce", IEEE, 1994.   |             |  |
|                                 |          | Rosenthal, S., "Interactive Network: Viewers Get Involved," New Media, Dec. 1992, pp. 30-31.  |             |  |
|                                 |          | Rosenthal, S., "Interactive TV: The Gold Rush is on," New Media, Dec. 1992, pp. 27-29.  |             |  |

|                    |  |                 |  |
|--------------------|--|-----------------|--|
| Examiner Signature |  | Date Considered |  |
|--------------------|--|-----------------|--|

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

|   |    |    |    |                          |                  |
|---|----|----|----|--------------------------|------------------|
| <b>INFORMATION DISCLOSURE<br/>STATEMENT BY APPLICANT</b><br><br>(Use as many sheets as necessary) |    |    |    | <b>Complete if Known</b> |                  |
|   |    |    |    | Application Number       | 10/696,659       |
|   |    |    |    | Filing Date              | October 28, 2003 |
|   |    |    |    | First Named Inventor     | Karl L. GINTER   |
|   |    |    |    | Art Unit                 | 2132             |
|   |    |    |    | Examiner Name            | Justin T. DARROW |
| Sheet   | 51 | of | 61 | Attorney Docket Number   | 07451.0001-23000 |

| NON PATENT LITERATURE DOCUMENTS |          |   |             |  |
|---------------------------------|----------|---|-------------|--|
| Examiner Initials               | Cite No. | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published. | Translation |  |
|                                 |          | Rosenthal, S., "Mega Channels," New Media, Sept. 1993, pp. 36-46.   |             |  |
|                                 |          | Ross, P.E., "Cops versus robbers in cyberspace," Forbes, Sep. 9, 1996.  |             |  |
|                                 |          | Rothstein, E., "Technology Connections, Making The Internet Come To You Through 'Push' Technology," N.Y. Times, Jan. 20, 1997, p. D5.   |             |  |
|                                 |          | Rouaix, F., "A Web Navigator with Applets in Caml," INRIA.  |             |  |
|                                 |          | Rozenblit, Moshe, "Secure Software Distribution", IEEE 0-7803-1811-0/94, 1994.  |             |  |
|                                 |          | RSA Enters Wireless Arena, RSA Security News, viewed at < <a href="http://rsasecurity.com/news/pr/940112-6.html">http://rsasecurity.com/news/pr/940112-6.html</a> >, dated January 12, 1994, pp. 1-2.   |             |  |
|                                 |          | RSA Security; News; < <a href="http://rsasecurity.com/news/pr/9401.html">http://rsasecurity.com/news/pr/9401.html</a> >, dated January 12, 1994, pp. 1-2.   |             |  |
|                                 |          | RSA's Developer's Suite for Secure Electronic transactions (SET), S/PAY, RSA Data Security, Inc., 1997.   |             |  |
|                                 |          | Rubin et al., "Formal Methods for the Analysis of Authentication Protocols CITI Technical Report 93-7," Center for Information Technology Integration, Nov. 8, 1993.  |             |  |
|                                 |          | Rubin et al., "Long Running Jobs in an Authenticated Environment," CITI Technical Report 93-1, Center for Information Technology Integration, March 1993.   |             |  |
|                                 |          | Rubin, A.D., "Trusted Distribution of Software Over the Internet," Bellcore, 1995, pp. 1-9.   |             |  |
|                                 |          | Rucker, et al., "Personalized Navigation for the Web," Communications of the ACM, pp. 73-75, Mar. 1997.   |             |  |
|                                 |          | Rushby, J.M., "Design and Verification of Secure Systems," ACM, 1981, pp. 12-21.  |             |  |
|                                 |          | Russell, D., et al., Computer Security Basics, O' Reilly & Associates, Inc., 1991.  |             |  |
|                                 |          | Russell, S., "Paradigms for Verification of Authorization at Source of Electronic Documents in an Integrated Environment," Computers & Security, vol. 12, no. 6, 1993, pp. 542-549.   |             |  |
|                                 |          | Russell, S., "Planning for the EDI of Tomorrow Using Electronic Document Authorization," Computer Security (A-37), 1993, pp. 243-251.   |             |  |
|                                 |          | Rutkowski, K., "PowerAgent Introduces First Internet 'Informediary' to Empower and Protect Consumers," Tech Talk News Story, Aug. 4, 1997, 1 page.  |             |  |
|                                 |          | Sager, I., "Bits & Bytes," Business Week, Sept. 23, 1996, p. 142E.  |             |  |
|                                 |          | Sag's durch die Blume, (undated), 5 pages<br><a href="http://123.koehntopp.de/marit/publikationen/steganographie/index">http://123.koehntopp.de/marit/publikationen/steganographie/index</a> .  |             |  |
|                                 |          | Sammer et al., "New Tools for the Internet," Jeanneum Research, Graz University of Technology.  |             |  |

|                    |  |                 |  |
|--------------------|--|-----------------|--|
| Examiner Signature |  | Date Considered |  |
|--------------------|--|-----------------|--|

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

|  |    |    |    |                          |                  |
|--|----|----|----|--------------------------|------------------|
| IDS Form PTO/SB/08: Substitute for form 1449A/PTO  |    |    |    | <b>Complete if Known</b> |                  |
| <b>INFORMATION DISCLOSURE<br/>STATEMENT BY APPLICANT</b><br><br><i>(Use as many sheets as necessary)</i> |    |    |    | Application Number       | 10/696,659       |
|  |    |    |    | Filing Date              | October 28, 2003 |
|  |    |    |    | First Named Inventor     | Karl L. GINTER   |
|  |    |    |    | Art Unit                 | 2132             |
|  |    |    |    | Examiner Name            | Justin T. DARROW |
| Sheet  | 52 | of | 61 | Attorney Docket Number   | 07451.0001-23000 |

| NON PATENT LITERATURE DOCUMENTS |          |   |             |  |
|---------------------------------|----------|---|-------------|--|
| Examiner Initials               | Cite No. | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published. | Translation |  |
|                                 |          | Sander, T. et al., "Protecting Mobile Agents Against Malicious Hosts," Mobile Agents and Security: Lecture Notes in Computer Science, Springer-Verlag, G. Vigna, Ed., Vol. 1419, Nov. 11, 1997, 16 pages.   |             |  |
|                                 |          | Sander, T. et al., "Towards Mobile Cryptography," IEEE Proceedings of Security and Privacy, May 1998, 10 pages.   |             |  |
|                                 |          | Sandhu, Ravi S., "The Typed Access Matrix Model," Proceedings of the IEEE Symposium on Security and Privacy, Oakland California, May 4-6, 1992, pp. 122-136.  |             |  |
|                                 |          | Sandhu, Ravi S., et al., "A Secure Kernelized Architecture for Multilevel Object-Oriented Databases," Proceedings of the IEEE Computer Security Foundations Workshop IV, June 1991, Franconia, NH, pp. 139-152.   |             |  |
|                                 |          | Sandhu, Ravi S., et al., "Data and Database Security and Controls," Handbook of Information Security Management, Auerbach Publishers, 1993, pp. 1-37.   |             |  |
|                                 |          | Sandhu, Ravi S., et al., "Implementation Considerations for the Typed Access Matrix Model in a Distributed Environment," Proceedings of the 15th NIST-SCSC National Computer Security Conference, Baltimore, Maryland, October 1992, pp. 221-235.               |             |  |
|                                 |          | Saydjari, O.S., et al., "LOCK Trek: Navigating Uncharted Space," National Computer security Center, 1989, pp. 167-175.  |             |  |
|                                 |          | Schaumüller-Bichl, I. et al., "A Method of Software Protection Based on the Use of Smart Cards and Cryptographic Techniques," Advances in Cryptography, Proceedings of EUROCRYPT 84, April 9-11, 1984, 9 pages.   |             |  |
|                                 |          | Schaumüller-Bichl, S., "IC-Cards in High-Security Applications," Voest-Alpine AG, (undated), pp. 177-199.   |             |  |
|                                 |          | Scherwin, Rich, Pay-per-view Web content February 1997; PC Computing, vol. 10, no. 2, page 288(1) Dialog copy, 1 page.  |             |  |
|                                 |          | Schill, A.B., et al., "DC++: Distributed Object-Oriented System Support on top of OSF DCE," 1993.   |             |  |
|                                 |          | Schill, A.B., et al., "DCE-The OSF Distributed Computing Environment Client Server Model and Beyond," October 1993.   |             |  |
|                                 |          | Schill, A.B., et al., "Mobility Aware Multimedia X. 400 e-mail: A Sample Application Based on a Support Platform for Distributed Mobile Computing," Dresden University of Technology, Faculty of Computer Science, (undated), pp. 1-7.                          |             |  |
|                                 |          | Schlossstein, S., "America: The G7's Comeback Kid, INTERNATIONAL ECONOMY," June/July 1993, 5 pages.   |             |  |
|                                 |          | Schneier, B., "Description of New Variable-Length Key, 64-bit block cipher (Blowfish)," Fast Software Encryption, Cambridge Security Workshop Proceedings, 1994.  |             |  |
|                                 |          | Schneier, Bruce, Applied Cryptography: Protocols, Algorithms, and Source Code in C, John Wiley & Sons, Inc., 1994.  |             |  |

|                    |                 |
|--------------------|-----------------|
| Examiner Signature | Date Considered |
|--------------------|-----------------|

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

|  |    |    |    |                          |                  |
|--|----|----|----|--------------------------|------------------|
| <b>IDS Form PTO/SB/08: Substitute for form 1449A/PTO</b><br><br><b>INFORMATION DISCLOSURE<br/>STATEMENT BY APPLICANT</b><br><br><i>(Use as many sheets as necessary)</i> |    |    |    | <b>Complete if Known</b> |                  |
|  |    |    |    | Application Number       | 10/696,659       |
|  |    |    |    | Filing Date              | October 28, 2003 |
|  |    |    |    | First Named Inventor     | Karl L. GINTER   |
|  |    |    |    | Art Unit                 | 2132             |
|  |    |    |    | Examiner Name            | Justin T. DARROW |
| Sheet  | 53 | of | 61 | Attorney Docket Number   | 07451.0001-23000 |

| NON PATENT LITERATURE DOCUMENTS |             |   |             |  |
|---------------------------------|-------------|---|-------------|--|
| Examiner<br>Initials            | Cite<br>No. | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published. | Translation |  |
|                                 |             | Schulze, Dr. J., "Case of Application of the Generic CITED Model to the CITEDisation in the Software Distribution Process," ESPIRIT II, Project, Jan. 12, 1993.   |             |  |
|                                 |             | Schurmann, J., "Pattern Classification, a Unified View of Statistical and Neural Approaches," John Wiley & Sons, Inc., 1996.  |             |  |
|                                 |             | Schutzer, D., "A Need for a Common Infrastructure: Digital Libraries and Electronic Commerce," Citibank, D-Lib Magazine, Apr. 1996.   |             |  |
|                                 |             | Sebes, E.J., "Overview of the Architecture of Distributed Trusted Mach," (undated), pp. 1-10.   |             |  |
|                                 |             | Sebes, E.J., et al., "The Architecture of Triad: A Distributed, Real-Time, Trusted System," (undated), pp. 1-12.  |             |  |
|                                 |             | Sebes, E.J., et al., "The Triad System: The Design of a Distributed, Real-Time, Trusted System," (undated), pp. 1-12.   |             |  |
|                                 |             | Secure Cryptographic Devices (retail) - Part I: Concepts, Requirements and Evaluation Methods, ISO 13491-1, Jun. 15, 1998.  |             |  |
|                                 |             | Security Enhanced LINUX, National Security Agency, <a href="http://www.nsa.gov/selinux/">http://www.nsa.gov/selinux/</a> , pp. 1-2.   |             |  |
|                                 |             | Security in KeyKOS.   |             |  |
|                                 |             | Security Requirements for Cryptographic Modules, U.S. Department of Commerce (NIST), January 11, 1994, pp. 1-53.  |             |  |
|                                 |             | Serving the Community: A Public Interest Vision of the National Information Infrastructure, Computer Professionals for Social Responsibility, Executive Summary, October 1993, 6 introductory pages, pp. 1-20 and Bibliography (pp. 21-23).                     |             |  |
|                                 |             | Shaffer, S.L., et al., Network Security, Academic Press, Inc., 1994.  |             |  |
|                                 |             | Shear, Victor, "Solutions for CD-ROM Pricing and Data Security Problems," CD ROM Yearbook 1988-1989 (Microsoft Press 1988 or 1989) pp. 530-33.  |             |  |
|                                 |             | Shirley, J., "Guide to Writing DCE Applications," 1st Ed. 1992.   |             |  |
|                                 |             | Shirley, J., et al., "Guide to Writing DCE Applications," 2nd Ed. 1994.   |             |  |
|                                 |             | Short, K.L., Microprocessors and Programmed Logic, Prentice-Hall, Inc., 1981.   |             |  |
|                                 |             | Sibert, Olin, et al. "Digibox: A Self-Protecting Container for Information Commerce," Proceedings of the First USENIX Workshop on Electronic Commerce, New York, NY, July 1995, pp. 1-13.   |             |  |
|                                 |             | Sibert, Olin, et al., "Securing the Content, Not the Wire, for Information Commerce," InterTrust Technologies Corporation, 1996, 12 pages.  |             |  |
|                                 |             | Sibert, Olin, et al., "The Intel 80x86 Processor Architecture: Pitfalls for Secure Systems," (undated), 12 pages.   |             |  |

|                       |  |                    |  |
|-----------------------|--|--------------------|--|
| Examiner<br>Signature |  | Date<br>Considered |  |
|-----------------------|--|--------------------|--|

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.



|  |    |    |    |                          |                  |
|--|----|----|----|--------------------------|------------------|
| IDS Form PTO/SB/08: Substitute for form 1449A/PTO  |    |    |    | <b>Complete if Known</b> |                  |
| <b>INFORMATION DISCLOSURE<br/>STATEMENT BY APPLICANT</b><br><br><i>(Use as many sheets as necessary)</i> |    |    |    | Application Number       | 10/696,659       |
|  |    |    |    | Filing Date              | October 28, 2003 |
|  |    |    |    | First Named Inventor     | Karl L. GINTER   |
|  |    |    |    | Art Unit                 | 2132             |
|  |    |    |    | Examiner Name            | Justin T. DARROW |
| Sheet  | 54 | of | 61 | Attorney Docket Number   | 07451.0001-23000 |

| NON PATENT LITERATURE DOCUMENTS |          |   |                 |
|---------------------------------|----------|---|-----------------|
| Examiner Initials               | Cite No. | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published. | Translation     |
|                                 |          | SIGSALY Secure Digital Voice Communications in World War II, National Security Agency, <a href="http://www.nsa.gov/wwii/papers/sigsaly.htm">http://www.nsa.gov/wwii/papers/sigsaly.htm</a> , October 13, 2000, pp. 1-2.   |                 |
|                                 |          | Simon et al., "Digital Images Protection Management in a Broadcast Framework: Overview/TALISMAN Solution," Thomson-CSF, RTBF, ART3000, UCL.   |                 |
|                                 |          | Sirbu et al., "NetBill: An Internet Commerce System Optimized for Network Delivered Services," Carnegie Mellon University.  |                 |
|                                 |          | Siuda, K., "Security Services in Telecommunications Networks," Seminar: Mapping New Applications Onto New Technologies, edited by B. Plattner and P. Gunzburger; Zurich, Mar. 8-10, 1988, pp. 45-52.  |                 |
|                                 |          | Smart Card 1993 Conference Proceedings, "Day 1: Communications and Marketing Systems & Market Overview," Lowndes Exhibition Organisers, Ltd., 1993, pp. 1-79.   |                 |
|                                 |          | Smart Card Technology International: The Global Journal of Advanced Card Technology, Global Projects Group, undated, pp. 1-151.   |                 |
|                                 |          | Smith, Mary Grace, et al., "A New Set of Rules for Information Commerce: Rights-Protection Technologies and Personalized-Information Commerce Will Affect All Knowledge Workers", CommunicationsWeek, Nov. 6, 1995.   |                 |
|                                 |          | Smith, S. et al., "Signed Vector Timestamps: A Secure Protocol for Partial Order Time," CMU-93-116, School of Computer Science Carnegie Mellon University, Pittsburgh, Pennsylvania, October 1991; version of Feb. 1993, 15 pages.                              |                 |
|                                 |          | Solomon, A., PC Viruses: Detection, Analysis and Cure, Springer-Verlag, (undated).  |                 |
|                                 |          | Solomon, Daniel, J., "Processing Multilevel Secure Objects," Proceedings of the 1981 Symposium on Security and Privacy, April 27-29, 1981, Oakland, California, pp. 56-61.  |                 |
|                                 |          | Specification for Financial Message Exchange Between Card Acceptor and Acquirer, X9.15, American National Standard, American Banker's Association, 1990.  |                 |
|                                 |          | SSL 2.0 Protocol Specification, viewed at <a href="http://home.netscape.com/eng/security/SSL.2html">http://home.netscape.com/eng/security/SSL.2html</a> , January 23, 2003.   |                 |
|                                 |          | St. Johns, M., "Draft Revised IP Security Option", Network Working Group, RFC, 1038, Jan. 1998.   |                 |
|                                 |          | Stallings, W., Cryptography and Network Security: Principles and Practice, Prentice-Hall, Inc., 1999.   |                 |
|                                 |          | STARFISH State of the Art Financial Services for the in Habitants of Isolated Areas - Project Profile, Information Society technologies, time schedule, Jan. 21, 2000 - Jun. 30, 2002.  |                 |
|                                 |          | Stefik, M., "Chapter 7, Classification," Introduction to Knowledge Systems," Morgan Kaufmann Publishers, Inc., 1995, pp. 543-607.   |                 |
|                                 |          | Stefik, M., "Letting Loose the Light: Igniting Commerce in Electronic Publication," Internet Dreams: Archetypes, Myths, and Metaphors. Massachusetts Institute of Technology, 1996, pp. 219-53.   |                 |
| Examiner Signature              |          |   | Date Considered |

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

|  |    |    |    |                          |                  |
|--|----|----|----|--------------------------|------------------|
| <b>INFORMATION DISCLOSURE<br/>STATEMENT BY APPLICANT</b><br><br><i>(Use as many sheets as necessary)</i> |    |    |    | <b>Complete if Known</b> |                  |
|  |    |    |    | Application Number       | 10/696,659       |
|  |    |    |    | Filing Date              | October 28, 2003 |
|  |    |    |    | First Named Inventor     | Karl L. GINTER   |
|  |    |    |    | Art Unit                 | 2132             |
|  |    |    |    | Examiner Name            | Justin T. DARROW |
| Sheet  | 55 | of | 61 | Attorney Docket Number   | 07451.0001-23000 |

| NON PATENT LITERATURE DOCUMENTS |          |   |                 |
|---------------------------------|----------|---|-----------------|
| Examiner Initials               | Cite No. | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published. | Translation     |
|                                 |          | Stefik, M., "Letting Loose the Light: Igniting Commerce in Electronic Publication," Xerox PARC, Palo Alto, CA, 1994-1995, 35 pages.   |                 |
|                                 |          | Stefik, M., "Trusted Systems," Scientific American, March 1997, pp. 78-81.  |                 |
|                                 |          | Stephenson, T., "The Info Infrastructure Initiative: Data Super Highways and You," Advanced Imaging, May 1993, pp. 73-74.   |                 |
|                                 |          | Stepney et. al., "Formal specification of an Access Control System," Software-Practice and Experience, Vol. 17, No. 9, 1987.  |                 |
|                                 |          | Sterling, B., "Literary Freeware: Not for Commercial Use," Computers, Freedom and Private Conference IV, Chicago, IL, Mar. 26, 1994, pp. 51-55.   |                 |
|                                 |          | Strack, Hermann, "Extended Access Control in UNIX System V-ACLs and Context," Usenix Association, Proceedings of the Unix Security II Workshop, August 27-28, 1990, Portland, Oregon, pp. 87-101.   |                 |
|                                 |          | Struif, B., "The Use of Chipcards for Electronic Signatures and Encryption," Proceedings for the 1989 Conference on VSLI and Computer Peripherals, IEEE Computer Society Press, 1989, pp. 4-155-4-158.  |                 |
|                                 |          | Stubblebine, S.G., "Security Services for Multimedia Conferencing," Proceedings of the 16th National Computer Security Conference, Baltimore, Maryland, September 20-23, 1993, pp. 1-5.   |                 |
|                                 |          | Swedlow, Tracy, "2000: Interactive Enhanced Television: A Historical and Critical Perspective," Interactive TV Today.   |                 |
|                                 |          | TALISMAN: Tracing Authors' Rights by Labeling Image Services and Monitoring Access Network, ACTS, Swiss Participation in European Research Programs, Sep. 1, 1995, Aug. 31, 1998.   |                 |
|                                 |          | Tanenbaum, A.S., et al., "Amoeba System," Communications of the ACM, Vol. 33, No. 12, Dec. 1990.  |                 |
|                                 |          | Tanenbaum, A.S., et al., "Distributed Operating Systems," Computing Surveys, vol. 17, no. 4, December 1985, pp. 419-470.  |                 |
|                                 |          | Tanenbaum, A.S., et al., "Experiences with the Amoeba Distributed Operating System," Vrije Universiteit and Centrum voor Wiskunde en Informatica, 1990.   |                 |
|                                 |          | Tanenbaum, A.S., et al., "The Amoeba Distributed Operating System," 1990.   |                 |
|                                 |          | Tanenbaum, A.S., et al., "The Amoeba Distributed Operating System-A Status Report," 1991.   |                 |
|                                 |          | Tanenbaum, A.S., et al., "Using Sparse Capabilities in a Distributed Operating System," Vrije Universiteit and Centre for Mathematics and Computer Science..  |                 |
|                                 |          | Tanenbaum, A.S., Modern Operating Systems, Prentice-Hall, Inc. 1992.  |                 |
|                                 |          | Tanenbaum, A.S., Operating Systems: Design and Implementation, Prentice-Hall, Inc. 1987.  |                 |
| Examiner Signature              |          |   | Date Considered |

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

|  |    |    |    |                               |                  |
|--|----|----|----|-------------------------------|------------------|
| <b>IDS Form PTO/SB/08: Substitute for form 1449A/PTO</b><br><br><b>INFORMATION DISCLOSURE<br/>STATEMENT BY APPLICANT</b><br><br><i>(Use as many sheets as necessary)</i> |    |    |    | <b>Complete if Known</b>      |                  |
|  |    |    |    | <i>Application Number</i>     | 10/696,659       |
|  |    |    |    | <i>Filing Date</i>            | October 28, 2003 |
|  |    |    |    | <i>First Named Inventor</i>   | Karl L. GINTER   |
|  |    |    |    | <i>Art Unit</i>               | 2132             |
|  |    |    |    | <i>Examiner Name</i>          | Justin T. DARROW |
| Sheet  | 56 | of | 61 | <i>Attorney Docket Number</i> | 07451.0001-23000 |

| NON PATENT LITERATURE DOCUMENTS |          |   |             |
|---------------------------------|----------|---|-------------|
| Examiner Initials               | Cite No. | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published. | Translation |
|                                 |          | Tardo et al., "Mobile Agent Security and Telescript," General Magic, Inc.   |             |
|                                 |          | Technical Description: Pay-Per-View Copy Protection, Macrovision, Jun. 1994.  |             |
|                                 |          | Technical Rationale Behind CSC-STD-003-85: Computer Security Requirements, <a href="http://www.radium.ncsc.mil/tpep/library/rainbow/CSC-STD-004-85.html">http://www.radium.ncsc.mil/tpep/library/rainbow/CSC-STD-004-85.html</a> , June 25, 1985, pp. 1-40.     |             |
|                                 |          | Technical Strategies for Protecting Intellectual Property in the Networked Multimedia Environment, IMA Intellectual Property Proceedings, Vol. I, Issue 1, January 1994.  |             |
|                                 |          | TELENET TELEtraining Platform (on NETworks) - Project Profile, Information Society Technologies, time schedule, Mar. 6, 2000 - Mar. 30, 2000.   |             |
|                                 |          | Telescript Security, BYTE.com, Oct. 1994.   |             |
|                                 |          | Templar Overview: Premenos, undated, 4 pages.   |             |
|                                 |          | Templar Software and Services, Secure, Reliable, Standards-Based EDI Over the Internet, undated, 1 page.  |             |
|                                 |          | The 1:1 Future of the Electronic Marketplace: Return to a Hunting and Gathering Society, (undated), 2 pages.  |             |
|                                 |          | The Armide Products, web page.  |             |
|                                 |          | The Benefits of ROI for database Protection and Usage Based Billing, Personal Library Software, 1987 or 1988, 5 pages.  |             |
|                                 |          | The First USENIX Workshop on Electronic Commerce Proceedings, New York, New York, July 11-12, 1995, Usenix Association.   |             |
|                                 |          | The Future of Cited: A Feasibility Study, ESPIRIT II, Project 5469, CITED Project Review, Apr. 15, 1994.  |             |
|                                 |          | The New Alexandria No. 1, Alexandria Institute, July-Aug. 1986, 12 pages.   |             |
|                                 |          | The PowerTV White Paper, powertv.com website, October 11, 1996.   |             |
|                                 |          | The Risks Digest, "Forum on Risks to the Public in Computers and Related Systems," Vol. 15; Issue 39, January 21, 1994, pp. 1-12  |             |
|                                 |          | The Risks Digest, "Forum on Risks to the Public in Computers and Related Systems," Vol. 15; Issue 47, February 9, 1994, pp. 1-12.   |             |
|                                 |          | The Standard Business:Time for Change, European Commision DG111 Espirit Project 5th Consensus Forum, Nov. 3-4, 1998.  |             |
|                                 |          | Think C: Object-Oriented Programming Manual, Symantec Corporation, 1989.  |             |
|                                 |          | THINK Pascal: The Fastest Way to Finished Software, Symantec Corporation, 1990, pp. 93-123.   |             |

|                    |  |                 |  |
|--------------------|--|-----------------|--|
| Examiner Signature |  | Date Considered |  |
|--------------------|--|-----------------|--|

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

|  |    |    |                          |                  |  |
|--|----|----|--------------------------|------------------|--|
| IDS Form PTO/SB/08: Substitute for form 1449A/PTO  |    |    | <b>Complete if Known</b> |                  |  |
| <b>INFORMATION DISCLOSURE<br/>STATEMENT BY APPLICANT</b><br><br><i>(Use as many sheets as necessary)</i> |    |    | Application Number       | 10/696,659       |  |
|  |    |    | Filing Date              | October 28, 2003 |  |
|  |    |    | First Named Inventor     | Karl L. GINTER   |  |
|  |    |    | Art Unit                 | 2132             |  |
|  |    |    | Examiner Name            | Justin T. DARROW |  |
|  |    |    | Attorney Docket Number   | 07451.0001-23000 |  |
| Sheet  | 57 | of | 61                       |                  |  |

| NON PATENT LITERATURE DOCUMENTS |          |   |             |  |
|---------------------------------|----------|---|-------------|--|
| Examiner Initials               | Cite No. | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published. | Translation |  |
|                                 |          | Thomas, R.K., et al., "Implementing the Message Filter Object-Oriented Security Model without Trusted Subjects," Proceedings of the IFIP Workshop on Database Security, August 19-21, 1992, Vancouver, Canada, 21 pages.  |             |  |
|                                 |          | Thompson, Victoria P., et al., "A Concept for Certification of an Army MLS Management Information System", Proceedings of the 16th National Computer Security Conference, September 20-23, 1993.  |             |  |
|                                 |          | Thor, "A Distributed Object-Oriented Database System," MIT.   |             |  |
|                                 |          | Thuraisingham, M.B., "Mandatory Security in Object-Oriented Database Systems," OOPSLA '89 Proceedings, October 1-6, 1989, pp. 203-210.  |             |  |
|                                 |          | Thuraisingham, M.B., et al., "Parallel Processing and Trusted Database Management Systems," ACM, 1993.  |             |  |
|                                 |          | Ting, T.C., et al., "Requirements, Capabilities and Functionalities of User Role Based Security for an Object-Oriented Design Model," Database Security, V: Status and Prospectus, 1992, pp. 275-297.   |             |  |
|                                 |          | Tirkel, A.Z. et al., "Electronic Water Mark," (undated), 5 pages.   |             |  |
|                                 |          | Toohy, J., Using OLE 2.X in Application Development, Que Corporation, 1994  |             |  |
|                                 |          | Townsend, J.E., "NIST on Internet Security," March 22, 1994, pp. 1-15.  |             |  |
|                                 |          | Transformer Rules Strategy for Software Distribution Mechanism-Support Products, IBM Technical Disclosure Bulletin, Vol. 37, No. 48, Apr. 1994, pp. 523-25.   |             |  |
|                                 |          | Trusted Unix Working Group (TRUSIX) Rationale for Selecting Access Control List Features for the UNIX (R) System, National Computer Security Center, August 18, 1989.   |             |  |
|                                 |          | Tuck, Bill, "Electronic Copyright Management Systems: Final Report of a Scoping Study for Elib," Jul. 1996.   |             |  |
|                                 |          | TULIP Final Report, ISBN 0-444-82540-1, 1991, revised September 18, 1996.   |             |  |
|                                 |          | Tygar, J.D. et al., "Dyad: A System for Using Physically Secure Coprocessors," School of Computer Science, Carnegie Mellon University, Pittsburgh, PA, May 1991, 121-152 pages.   |             |  |
|                                 |          | Tygar, J.D. et al., "Strongbox: A System for Self Securing Programs," CMU Computer Science: 25th Anniversary Commemorative, R. Rashid (ed.) Addison-Wesley, 1991, pp. 163-197.  |             |  |
|                                 |          | Tygar, J.D., et al., "Cryptography: It's Not Just for Electronic Mail Anymore," CMU-CS-93-107, School of Computer Science Carnegie Mellon University, Pittsburgh, PA, March 1, 1993, pp. 1-21.  |             |  |
|                                 |          | Uhler, Stephen A., "PhoneStation, Moving the Telephone onto the Virtual Desktop," 1993 Winter USENIX, San Diego, California, January 25-29, 1993, pp. 131-140.  |             |  |

|                    |  |                 |  |
|--------------------|--|-----------------|--|
| Examiner Signature |  | Date Considered |  |
|--------------------|--|-----------------|--|

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

|   |    |    |    |                          |                  |
|---|----|----|----|--------------------------|------------------|
| IDS Form PTO/SB/08: Substitute for form 1449A/PTO   |    |    |    | <b>Complete if Known</b> |                  |
| <b>INFORMATION DISCLOSURE<br/>STATEMENT BY APPLICANT</b><br><br>(Use as many sheets as necessary) |    |    |    | Application Number       | 10/696,659       |
|   |    |    |    | Filing Date              | October 28, 2003 |
|   |    |    |    | First Named Inventor     | Karl L. GINTER   |
|   |    |    |    | Art Unit                 | 2132             |
|   |    |    |    | Examiner Name            | Justin T. DARROW |
| Sheet   | 58 | of | 61 | Attorney Docket Number   | 07451.0001-23000 |

| NON PATENT LITERATURE DOCUMENTS |          |   |             |  |
|---------------------------------|----------|---|-------------|--|
| Examiner Initials               | Cite No. | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.   | Translation |  |
|                                 |          | UniverCD: The InterActive, Online Library of Product Information From Cisco Systems, Cisco Systems 1993.  |             |  |
|                                 |          | Unix System v. Release 3.2. Programmer's Guide. Vol. II, AT&T, Prentice Hall, 1989.   |             |  |
|                                 |          | Valovic, T., "The Role of Computer Networking in the Emerging Virtual Marketplace," Telecommunications, (undated), 6 pages.   |             |  |
|                                 |          | van Gilluwe, F., The Undocumented PC: A Programmer's Guide to I/O, Cpus, and Fixed Memory Areas, Addison-Wesley Publishing Company, 1994.   |             |  |
|                                 |          | van Schyndel, R.G., et al., "A Digital Watermark," (undated), 3 pages.  |             |  |
|                                 |          | Van Slype, Georges et al, "The Future of CITED; a Feasibility Study," ESPRIT II, Project 5469, The CITED Consortium, Nov. 15, 1993.   |             |  |
|                                 |          | Van Slype, Georges et al., "Natural Language Version of the Generic CITED Model, Ver. 4.2, Vol. I: Presentation of the Generic Model," ESPRIT II, Project 5469, The CITED Consortium, May 8, 1995.  |             |  |
|                                 |          | Van Slype, Georges et al., "The Future of CITED: A Feasibility Study, Ver. 1.0, Vol. II: Full Report," ESPRIT II, Project 5469, The CITED Consortium, Feb. 28, 1994.  |             |  |
|                                 |          | Van Slype, Georges, "Draft CITED Interchange Formats, Ver. 1.0", ESPRIT II, Project 5469, the CITED Consortium, Jan. 28, 1994.  |             |  |
|                                 |          | Van Slype, Georges, "Knowledge Economy; Future Trends," CITED 5469.   |             |  |
|                                 |          | Van Slype, Georges, "Natural Language Version of the generic CITED model Vol. I: Presentation of the generic model, ver. 3.0", and "Vol. II: CITED usage monitoring system design for computer based applications, ver. 1.0" Project 54659, The CITED Consortium. |             |  |
|                                 |          | Van Slype, Georges, "Natural Language Version of the Generic CITED Model, Ver. 2.1, Vol. II ECMS (Electric Copyright Management System) Design for Computer Based Applications," ESPRIT II, Project 5469, The CITED Consortium, May 8, 1995.                      |             |  |
|                                 |          | Van Slype, Georges, "PL4 RACE/ACCOPI Workshop on Conditional Access and Copyright Protection," ESPRIT II, Project 5469, Presentation of the CITED, Nov. 9, 1994.  |             |  |
|                                 |          | Van Slype, Georges, "PL4 RACE/ACCOPI Workshop on Conditional Access and Copyright Protection," ESPRIT II, Project 5469, The CITED Consortium, Nov. 9, 1994.   |             |  |
|                                 |          | Van Slype, Georges, "The CITED Approach, Ver. 4.0," ESPRIT II, Project 5469, The CITED Consortium, Apr. 20, 1994.   |             |  |
|                                 |          | Van Slype, Georges, "The Future of CITED: A Feasibility Study, Ver. 1.0, Vol. I: Summary Report and and Recommendations," ESPRIT II, Project 5469, The CITED Consortium, Feb. 28, 1994.   |             |  |

|                    |  |                 |  |
|--------------------|--|-----------------|--|
| Examiner Signature |  | Date Considered |  |
|--------------------|--|-----------------|--|

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

|  |    |    |    |                          |                  |
|--|----|----|----|--------------------------|------------------|
| <b>IDS Form PTO/SB/08: Substitute for form 1449A/PTO</b><br><br><b>INFORMATION DISCLOSURE<br/>STATEMENT BY APPLICANT</b><br><br><i>(Use as many sheets as necessary)</i> |    |    |    | <b>Complete if Known</b> |                  |
|  |    |    |    | Application Number       | 10/696,659       |
|  |    |    |    | Filing Date              | October 28, 2003 |
|  |    |    |    | First Named Inventor     | Karl L. GINTER   |
|  |    |    |    | Art Unit                 | 2132             |
|  |    |    |    | Examiner Name            | Justin T. DARROW |
| Sheet  | 59 | of | 61 | Attorney Docket Number   | 07451.0001-23000 |

| NON PATENT LITERATURE DOCUMENTS |          |   |                 |
|---------------------------------|----------|---|-----------------|
| Examiner Initials               | Cite No. | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.                                   | Translation     |
|                                 |          | Van Slype, Georges, "The Future of CITED: A Feasibility Study, Ver. 1.1, Vol. I: Summary Report and Recommendations," ESPRIT II, Project 5469, The CITED Consortium, Mar. 28, 1994.   |                 |
|                                 |          | Van Slype, Georges, "The Future of CITED: A Feasibility Study, Ver. 1.1, Vol. III: Draft CITED Interchange Formats," ESPRIT II, Project 5469, The CITED Consortium, Feb. 28, 1994.  |                 |
|                                 |          | Vickers Benz, T.C., et al., "Identification of Subjects and Objects in a Trusted Extensible Client Server Architecture," (undated), pp. 1-17.   |                 |
|                                 |          | VirusCheck and VirusScan, McAfee, 1993.   |                 |
|                                 |          | Vittal, J., "Active Message Processing: Messages as Messengers," Bolt, Beranek and Newman, Inc., 1980, pp. 175-195.   |                 |
|                                 |          | Voight, J., "Beyond the Banner," Wired, Dec. 1996, 6 pages.   |                 |
|                                 |          | Voydock, V.L., et al., "Security Mechanisms in High-Level Network Protocols," Computing Surveys, vol. 15, no. 2, June 1983, pp. 135-171.  |                 |
|                                 |          | Wagner, N. "Fingerprinting," Drexel University, IEEE Symp. On Info. and Privacy, Apr. 1993.   |                 |
|                                 |          | Walker, Bruce, J., et al., Computer Security and Protection Structures, Dowden, Hutchinson, & Ross, Inc., 1977.   |                 |
|                                 |          | Walker, S., "Notes from RSA Data Security Conference," January 18, 1994, pp. 1-3.   |                 |
|                                 |          | Ware, W., Chairman RAND Corporation "Panel: The InterTrust Commerce Architecture," 1997, 6 pages.   |                 |
|                                 |          | Wayner, P., "Agents Away," Byte.com, May 1994, pp. 1-9.   |                 |
|                                 |          | Wayner, Peter, Digital Copyright Protection, Academic Press, 1997.  |                 |
|                                 |          | Weadon, P.D., "The SIGSALY Story," December 10, 2002.   |                 |
|                                 |          | Weber, Robert, "Digital Rights Management Technologies," A Report to the International Federation of Reproduction Rights Organisations, Northeast Consulting Resources, Inc., Oct. 1995, 49 pages.  |                 |
|                                 |          | Weber, Robert, "Metering Technologies for Digital Intellectual Property," A Report to the International Federation of Reproduction Rights Organisations (Boston, MA), International Federation of Reproduction on Rights Organisations, Northeast Consulting Resources, Inc., Oct 1994, 29 pages. |                 |
|                                 |          | Weder, A., "Life on the Infohighway," INSITE, (undated), pp. 23-25.   |                 |
|                                 |          | Weingart, S.H., "Physical Security for the ABYSS System," (IBM Thomas J. Watson Research Center, Yorktown Heights, NY), 1987, pp. 52-58.  |                 |
|                                 |          | Weitzner, D.J., "A Statement on EFF's Open Platform Campaign as of November," 1993, 3 pages.  |                 |
| Examiner Signature              |          |   | Date Considered |

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

|  |    |    |    |                          |                  |
|--|----|----|----|--------------------------|------------------|
| IDS Form PTO/SB/08: Substitute for form 1449A/PTO  |    |    |    | <b>Complete if Known</b> |                  |
| <b>INFORMATION DISCLOSURE<br/>STATEMENT BY APPLICANT</b><br><br><i>(Use as many sheets as necessary)</i> |    |    |    | Application Number       | 10/696,659       |
|  |    |    |    | Filing Date              | October 28, 2003 |
|  |    |    |    | First Named Inventor     | Karl L. GINTER   |
|  |    |    |    | Art Unit                 | 2132             |
|  |    |    |    | Examiner Name            | Justin T. DARROW |
| Sheet  | 60 | of | 61 | Attorney Docket Number   | 07451.0001-23000 |

| NON PATENT LITERATURE DOCUMENTS |          |   |                 |
|---------------------------------|----------|---|-----------------|
| Examiner Initials               | Cite No. | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published. | Translation     |
|                                 |          | Wells, Rob, Odyssey of Plastic Purchase; 20-Second Round Trip, Associated Press, Dec. 1993.   |                 |
|                                 |          | WEPIN Store, Stenography (Hidden Writing), Common Law, 1995, 1 page.  |                 |
|                                 |          | What is Firefly?, <www.ffly.com,> Firefly Network, Inc., Firefly revision: 41.4, Copyright 1995, 1996, 1 page.  |                 |
|                                 |          | What the Experts Are Reporting on PowerAgent, PowerAgent Press Releases, Aug. 13, 1997, 6 pages.  |                 |
|                                 |          | What the Experts are Reporting on PowerAgent, PowerAgent Press Releases, Aug. 4, 1997, 5 pages.   |                 |
|                                 |          | White Paper: The Future of Electronic Commerce, A Supplement to Midrange Systems, Premenos Corp. Document from Internet: <webmaster@premenos.com>, Aug. 1995, 4 pages.  |                 |
|                                 |          | White, J.E., "Telescript Technology: The Foundation for the Electronic Marketplace," General Magic, 1994.   |                 |
|                                 |          | White, James E., "Telescript: The Foundation for the Electronic Marketplace", Ver. 5.0, General Magic, Inc., November 30, 1993, pp. 1-13.   |                 |
|                                 |          | White, S.R., et al., "ABYSS: A Trusted Architecture for Software Protection," (IBM Thomas J. Watson Research Center, Yorktown Heights, NY), 1987, pp. 38-50.  |                 |
|                                 |          | White, Steve R., et al., "ABYSS: An Architecture for Software Protection", IEEE Transactions on Software Engineering, Vol. 16, No. 6, Jun. 1990.  |                 |
|                                 |          | Willett, S., "Metered PCs: Is Your System Watching You?, Wave Systems Beta Tests New Technology," IDG Communications, Inc., May 2, 1994, pp. 1-6.   |                 |
|                                 |          | Williams, S., "An MSJ Interview with Microsoft's Chief Architect of OLE, Tony Williams," Microsoft Systems Journal, October 1993, pp. 55-66.  |                 |
|                                 |          | Williams, Tony, "Microsoft Object Strategy", Microsoft PowerPoint Presentation", 1990.  |                 |
|                                 |          | Winslet et al., "Formal Query Languages for Secure Relational Databases," ACM Transactions on Database Systems, Vol. 19, No. 4, Dec. 1994.  |                 |
|                                 |          | Wobber, Edward, et al., "Authentication in the Taos Operating System", Digital Equipment Corporation, December 10, 1993, 68 pages.  |                 |
|                                 |          | Wong, R., et al., "The SIDOS System: A Secure Distributed Operating System Prototype," Odyssey Research Associates, October 1989, pp. 172-183.  |                 |
|                                 |          | Woo, Thomas, Y.C., et al., "A Framework for Distributed Authorization," Proceedings of the 1st Conference Computer and Communication Security, November 1993, pp.112-118.   |                 |
|                                 |          | Wood, P.H., et al., UNIX System Security, Pipline Associates, Inc., 1985.   |                 |
|                                 |          | Working with Windows Objects, Microsoft Press, OLE 2 Programmer's Reference; Volume 1, 1994.  |                 |
| Examiner Signature              |          |   | Date Considered |

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

|   |    |    |    |                          |  |                  |  |
|---|----|----|----|--------------------------|--|------------------|--|
| IDS Form PTO/SB/08: Substitute for form 1449A/PTO<br><br><b>INFORMATION DISCLOSURE<br/>STATEMENT BY APPLICANT</b><br><br><i>(Use as many sheets as necessary)</i> |    |    |    | <b>Complete if Known</b> |  |                  |  |
|   |    |    |    | Application Number       |  | 10/696,659       |  |
|   |    |    |    | Filing Date              |  | October 28, 2003 |  |
|   |    |    |    | First Named Inventor     |  | Karl L. GINTER   |  |
|   |    |    |    | Art Unit                 |  | 2132             |  |
|   |    |    |    | Examiner Name            |  | Justin T. DARROW |  |
| Sheet   | 61 | of | 61 | Attorney Docket Number   |  | 07451.0001-23000 |  |

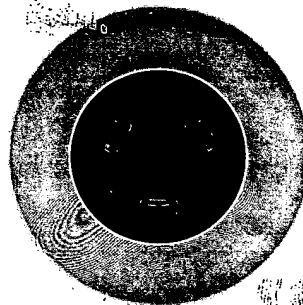
| NON PATENT LITERATURE DOCUMENTS |             |   |             |
|---------------------------------|-------------|---|-------------|
| Examiner<br>Initials            | Cite<br>No. | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published. | Translation |
|                                 |             | XIWT Cross Industry Working Team, July 1994, 5 pages.   |             |
|                                 |             | Yee, B., "Using Secure Coprocessors," CMU-CS-94-149, School of Computer Science, Carnegie Mellon University, Pittsburgh, PA, 1994, 94 pages.  |             |
|                                 |             | Yee, B., et al., "Secure Coprocessors in Electronic Commerce Applications," Proceedings of the First Usenix Workshop on Electronic Commerce, New York, New York, July 1995, 16 pages.   |             |
|                                 |             | Yellin, F., Document from the Internet: "Low Level Security in Java," Sun Microsystems, 1996, 8 pages.  |             |
|                                 |             | Young, W.D., "Verifiable Computer Security and Hardware: Issues," Technical Report, Computational Logic Inc., September 1991, 43 pages.   |             |
|                                 |             | Zelevnick, M.P., "Security Design in Distributed Computing Applications," Department of Computer Science, University of Utah, December 1993, 16 pages.  |             |
|                                 |             | Zelnick, Nate, "Keeping Business Safe on the Internet," PC Magazine, April 25, 1995, pp. 1-2.   |             |
|                                 |             | Zurko, M.E., "Panels at the 1997 IEEE Symposium on Security and Privacy," Oakland, CA, May 1997, 12 pages.  |             |

|                       |  |                    |  |
|-----------------------|--|--------------------|--|
| Examiner<br>Signature |  | Date<br>Considered |  |
|-----------------------|--|--------------------|--|

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

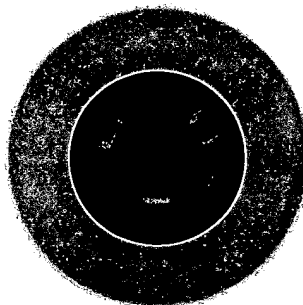


U.S. Appln. No.: 10/696,659  
References for IDS  
Submitted 04/15/05



CD 1 of 3  
- Foreign  
- Other (A-C)

U.S. Appln. No.: 10/696,659  
References for IDS  
Submitted 04/15/05



CD 2 of 3  
- Other (D-O)

U.S. Appl. No.: 10/696,659  
References for IDS  
Submitted 04/15/05

CD 3 of 3  
- Other (P-Z)